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Investigative

Program

Analysis

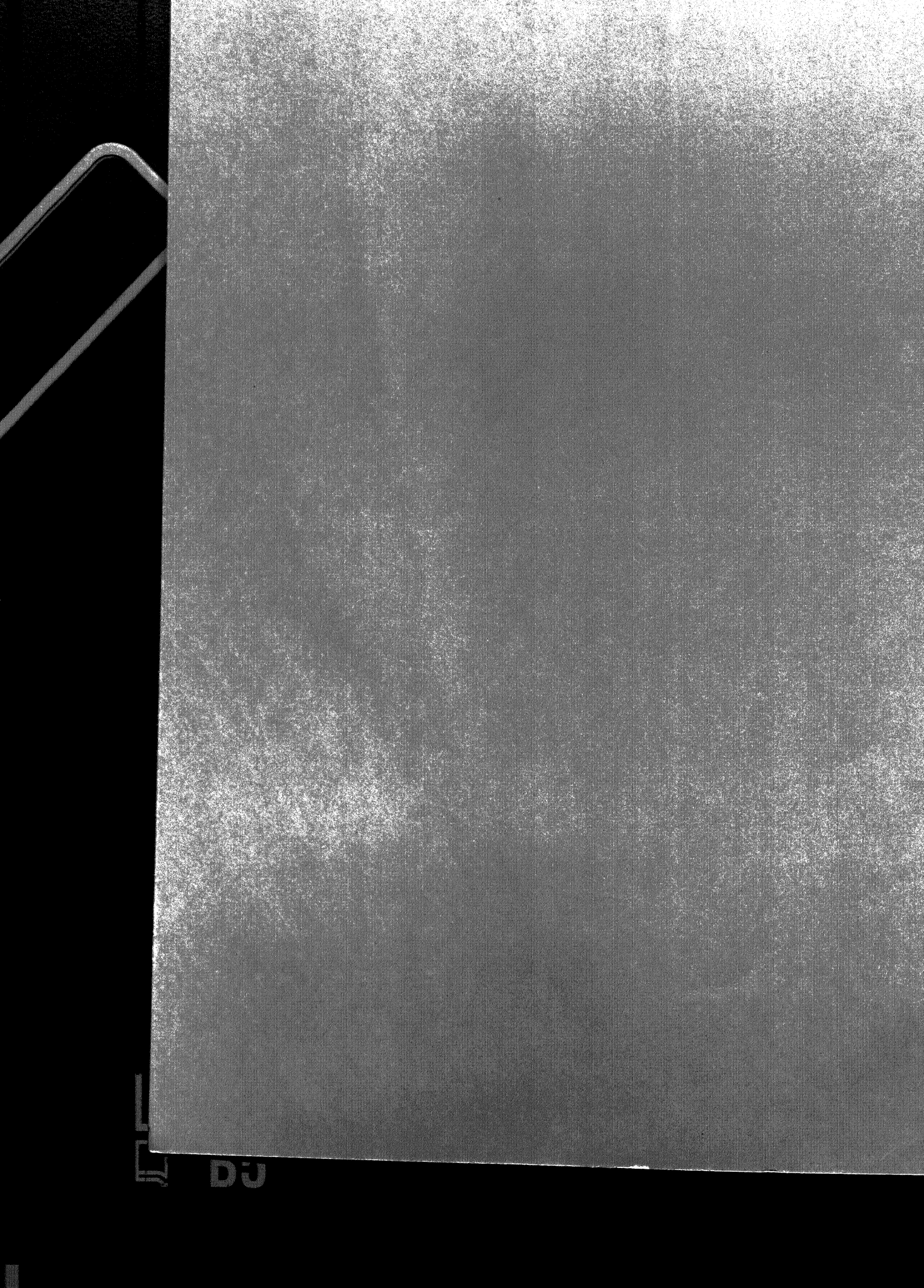
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DEPARTMENT OF THE TREASURY  
U. S. CUSTOMS SERVICE





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## FOREWORD

TO ALL OFFICE OF INVESTIGATIONS PERSONNEL:

This manual becomes effective on April 1, 1974. It supersedes and replaces the Customs Agent Case Inventory System manual (CF 65).

The principal objectives sought in this program are: (1) a true and accurate inventory of our investigative cases; (2) a measurement of the results of our investigative efforts, i.e., arrests, recoveries, penalties, and forfeitures; and (3) a running account of the man-hours devoted to each investigative category.

We must be able to measure the above statistical data by case, by agent and by investigative category. We must also summarize that data by office, by region and by total service.

The statistics obtained from this program are vital to our budget as well as necessary for the effective management of our resources.

It must be emphasized that complete and accurate reports are absolutely necessary. Any duplicate or faulty statistics within this system can, and probably will, adversely affect our agency's credibility in all areas.

It is the responsibility of each employee to familiarize himself with the contents of this manual, together with future revisions, and to prepare the required forms completely and accurately.

  
George C. Corcoran, Jr.  
Assistant Commissioner





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## I. PURPOSE

The purpose of Investigative Program Analysis is sixfold:

### A. Performance Measurement Standards (PMS)

The Office of Management and Budget (OMB) has imposed standards for all Government agencies concerning budgetary and ceiling requests. Investigative Program Analysis (IPA) was designed with these standards in mind and it is anticipated that the results of the system will satisfy any subsequent demands from OMB.

### B. Treasury Reporting Standards

The Office of the Assistant Secretary for Enforcement, Tariff and Trade Affairs, and Operations is evaluating the reporting systems presently in use by Customs, Secret Service, Internal Revenue Service, and Alcohol, Tobacco, and Firearms. It has been proposed that all these agencies use a similar format for reporting work activities. Some of these agencies already have a daily work report which they feel would be applicable to all Treasury enforcement agencies. The Customs' Office of Investigations is opposed to daily activity reporting, and successful implementation of Investigative Program Analysis may result in its becoming a guide for the other enforcement agencies.

### C. Statistics

Each day the Office of Investigations receives several requests from the Treasury Department, the White House, and Congress concerning our work and the statistics which result from our accomplishments. The Investigative Program Analysis system will print on a monthly basis much of the information necessary to respond to these requests. The raw data required to answer unusual requests will be available if necessary.



#### D. Budget

The statistics supplied by the Investigative Program Analysis become the basis for budget and ceiling requests and will provide a realistic method of identifying future needs.

#### E. Administration

The Investigative Program Analysis system was designed as an administrative tool for the Office of Investigations. It is not intended to provide intelligence data, and any connection or duplication with TECS (concerning the preparation of information submitted on CF 64 and CF 4622) is necessary at this time. Investigative Program Analysis will supply the field offices with monthly work reports, including summaries of seizures, arrests, recoveries, dispositions and agent activity.

#### F. Standardization

Standardization is a prerequisite to any uniform reporting system. IPA has standardized the reporting of arrests, seizures and penalties, as well as the disposition of these arrests and recoveries. The implementation of a twelve (12) character file number will insure better case control and permit this system to interface with TECS.

## II. STANDARDS

Every computer system requires conformity on the part of all participants. At the present time, each district has established its own standards for opening investigations, issuing file numbers, reporting arrests and the disposition of the arrests, and reporting seizures and penalties.

In order that our statistics will be correct and unchallengeable, all offices must report statistical facts in the same manner.

## DEFINITION OF INVESTIGATION (CASE)

The gathering and reporting of facts and circumstances to substantiate or disprove allegations or related information.

The following are examples which may be used as a guide by supervisors in assigning cases to special agents or otherwise disposing of information.

1. A case is assigned when a specific request for information from another office, from a District Director, or from another agency requires a detailed examination or search to uncover facts and prepare their appropriate responses.

A request for a file check or a TECS inquiry does not require investigation and should be handled administratively.

2. A case is assigned when information is either received or developed which warrants the gathering of facts to determine veracity, validity, and probability of reliability.

Information which is received and is unverifiable, not worth being investigated, or which is forwarded to another office or agency for investigation is not a case.

3. Information which results in investigation to obtain additional facts before filing, soundexing, or forwarding the information to TECS does permit case assignment.

Information which upon receipt is filed, soundexed, forwarded to TECS, or otherwise administratively handled does not warrant case assignment.

4. An investigation of any fact to develop a violation or other final disposition warrants case assignment.



Any review of the facts which developed into a violation and upon which the final disposition has occurred or if pending requires no further investigation, should not require assignment of a case.

Arrests, seizures, or penalties resulting from CPO work which are complete in uncovering and reporting the circumstances surrounding a violation do not warrant case assignment.

### COLLATERAL INVESTIGATION

A collateral case is where two or more offices are investigating the same set of circumstances involving the same persons and/or firms.

Information received by an office which requires an investigation in that office as well as investigation by another office is a collateral case.

Information received by an office which requires no investigation at that office but is forwarded to another office for investigation is not a collateral case. In this instance, the information should be forwarded with an administrative case number and the addressed office will open the investigative case.

On collateral cases, the originating office will assign the twelve character case number and all other offices will drop the originating office designator (the first two characters) and add their own office designator to the originating office number.

All offices conducting a collateral investigation will have the same last ten characters in the case number.

Example:

San Francisco originates a case and assigns the number SF08GC480001.

New York conducts a collateral investigation under case number NY08GC480001.

## CASE STATUS

The status of an investigation is one of the following:

### 1. Open

The case is considered open when facts or circumstances are still to be substantiated or disproved. While a case is in an open status, statistical information such as arrests, seizures, penalties, and recoveries, and disposition of the arrests, seizures, and penalties may become available and should be reported on CF 64 following the instructions detailed in a subsequent chapter of this manual. There is no time period for which an investigation may remain open, and as long as investigative work is required, the status should be open.

### 2. Disposition Pending

The term Disposition Pending refers to investigative or enforcement cases on which all appropriate investigative or enforcement action has been completed and all the necessary statistical data in the way of disposition of arrests, seizures, penalties, and recoveries have not been reported. Upon forwarding the appropriate information, the case will then move to the closed category.

### 3. Closed

This term refers to an investigative or enforcement action on which all aspects of that investigation together with any final dispositions have been concluded and reported.

## ARRESTS

The Office of Investigations makes two types of arrests: an arrest for a Customs violation; and an arrest for another agency.

The following is a guide to be used in reporting arrests:

1. A person who is taken into custody is only arrested once. If a person is charged with a number of violations, he still is considered to be arrested once. If a person is arrested for a Customs violation and there is no federal prosecution, and the case is referred to another agency, then the arrest should be reported only once for a Customs violation.
2. To make an arrest, the violator must be physically detained and there must be a subsequent legal proceeding; that is, the violator is released after the U.S. Attorney declines prosecution or the U.S. Magistrate dismisses the charges.
3. A person who has been indicted for a violation and who has not yet been apprehended is not considered arrested.
4. A person who has been indicted by one office and subsequently arrested by another office will be reported as arrested by that office which physically detained the violator.
5. A person who is indicted in one office and apprehended by another agency will be reported as arrested by the office which secured the indictment.
6. A person who is arrested for another agency must be released to that agency.
7. It is not an arrest when a person is detained for further investigation after which he is released.
8. If, based on an investigative report, a firm is criminally charged with a Customs violation, then a Customs arrest should be reported even though no one was physically detained.



## DISPOSITION OF ARRESTS

All persons arrested for a Customs violation must be disposed of in one of the following dispositions:

### 1. Conviction

A violator is convicted by either plea or trial. For statistical purposes a person who is convicted either by plea or trial of an offense other than the offense for which originally arrested will be considered convicted of the original charge; that is, a person arrested for smuggling heroin and convicted for conspiracy will be counted as a conviction for heroin.

### 2. Acquittal

A violator is considered acquitted when he is found not guilty of all charges after a trial.

### 3. Dismissal

The term dismissal will be used when all the charges against a violator are dismissed by a judge or a magistrate.

### 4. Nolle Pros

The term Nolle Pros is used when the charges against a violator are presented to a U.S. Attorney and upon his examination of the facts, he declines to prosecute the case. Note that presentation of facts prior to an arrest do not and must not be reported as an arrest and declination.

### 5. Fugitive

A violator becomes a fugitive when after his arrest he has failed to appear for legal proceedings and a bench warrant is issued for his arrest. A person who has been indicted and not yet apprehended does not fit into this category at this time.

In a case where all persons are arrested for another agency, the final disposition of that arrest is the release of the individual(s) to the appropriate agency.

## SEIZURES

A seizure is the physical or constructive possession of items which were smuggled or otherwise improperly imported into the United States.

Seizures are reported on CF 5955, and to avoid duplication, statistical credit for seizures will be given to Customs officers who prepare and sign CF 5955.

Seizures which are discovered by Customs officers other than Office of Investigations' personnel and have a CF 5955 prepared and signed by these officers will not be reported by the Office of Investigations.

The Office of Investigations will report seizures which are discovered by other officers, i.e., Customs Inspectors, Import Specialists, and Border Patrol Officers, and which seizures are referred to Office of Investigations for further investigation and processing of CF 5955.

Seizures which result in convoy from one office to another will be reported by the office which prepares the CF 5955. Those convoy cases in which part of the seizure is detained at the point of discovery and the remainder of the seizure forwarded for delivery will result in the appropriate office preparing a CF 5955 covering the items they have seized.

## DISPOSITION OF SEIZURES

Every seizure has an ultimate disposition. The items will be:

1. Forfeited to the Government;
2. Returned to legal owner if other than from whom seized;
3. Returned to violator/owner in lieu of fine; or
4. Returned to violator/owner after payment of penalty.

IPA is designed to keep track of seizures until one of the above dispositions are reported.

Prohibited merchandise such as narcotics is generally assumed to be forfeited to the Government; however, the system makes no assumptions and a disposition must be reported in all seizures.



## PENALTIES

A penalty is incurred by a violator (individual or organization) for attempting to smuggle or otherwise illegally import items into the United States.

There are many situations in which a penalty occurs. The most common involves: failure to declare merchandise; illegal landing of merchandise; failure to report to Customs; failure to conform to Customs rules and regulations; violation of the Tariff Act of 1930 as amended; and violation of the various statutes, both criminal and civil law which Customs enforces.

A notice of penalty is issued to a violator by use of Customs Form 5955A or a Customs Summons. Penalties should only be reported by the office which prepares and signs the Customs Summons or prepares the 5955A and reports the violation to the District Director. Offices which conduct collateral investigations concerning a violation will not report the penalty unless they prepare the 5955A.

## DISPOSITION OF PENALTIES

Every penalty has an ultimate disposition:

1. The penalty is mitigated to 0 and no further action is contemplated;
2. The penalty is mitigated to 0 upon payment of the loss and duty. (In this instance, the duty collected will be reported under 9A - Collection Duty.);
3. The penalty is reduced proportionally to the amount of the original claim; or
4. The penalty is paid in full.

The Investigative Program Analysis system is designed to keep track of penalties until one of the above dispositions is reported. If the final disposition of a penalty results in no recovery, then this is reported by using the letter 0, thus indicating that the reporting agent is aware that the penalty is resolved.

### III. CASE NUMBER

The case number is a twelve (12) character file number consisting of a combination of alpha and numeric characters. The arrangement of these characters permits the computer to identify numerous statistical items.

A case number will be assigned to one of the two formats listed below:

1. Administrative case numbers are issued by placing the letter A in the fifth character of the file number. An administrative case number replaces the old .010 format. Therefore, the administrative format will be used whenever information is filed, soundexed, forwarded to CADPIN, forwarded to another office or forwarded to another agency.

NOTE: If information is forwarded under an A case number which requires an investigation at the receiving office, then the administrative case number should be disregarded and an investigative case number assigned.

2. Investigative case numbers are issued by placing a sub-category alpha character in the fifth position in the file number. Whenever information requires investigation by a special agent, an investigative case number will be issued.

NOTE: If a CPO case is referred for further investigation, an investigative case number will be assigned by the investigating office.

FILE NUMBER

OFFICE DESIGNATOR - must be alpha

BROAD INVESTIGATIVE CATEGORY - must be numeric

INVESTIGATIVE SUB-CATEGORY - must be alpha

SOURCE OF INVESTIGATION - must be alpha

CALENDAR YEAR - must be numeric

REGION DESIGNATOR - must be numeric

SEQUENTIAL NUMBER - must be numeric

S F 0 8 G C 4 8 0 0 0 1

1st San Francisco case opened this year  
in this broad investigative category

Case originated in Region 8

Case was opened in calendar year 1974

Case was opened on information supplied by CPO

Most significant violation was undeclared assists

This is a fraud case

San Francisco is conducting this investigation

The next 08 investigative case which originates in San Francisco will carry the sequential number 0 0 0 2 regardless of the sub-category or source. Investigative files are identified in the sub-category block through the use of E for administrative activity. These files will be treated as separate categories and will carry their own block of sequential numbers.

COLLATERAL CASE NUMBER

If San Francisco requests New York to make a collateral investigation, then New York will drop the SF from the case number and add NY as the office designator. The case number in New York will be:

S F 0 8 G C 4 8 0 0 0 1

he twelve (12) character case number is divided into seven  
7) sections.

- I The first and second characters are alphabetic and identify the office in which the case is being assigned. The next page lists the present Customs Service offices and their alphabetic designators.
- II The third and fourth characters are numeric and identify the broad category of investigations for this case. A leading zero must appear before case categories one (1) through nine (9); that is, a narcotic smuggling investigation should appear as 06. (See pages 18 through 34 for a list of broad categories, sub-categories and source designators.)
- II The fifth character is alphabetic and indicates the sub-category of the investigation. If administrative, the character is A.
- IV The sixth character is alphabetic and identifies the source of this investigation.
- V The seventh character is numeric and indicates the year in which this case number was assigned.
- VI The eighth character is numeric and identifies the region.
- II The last four characters are numeric and sequentially identify this particular investigation. In every case, characters nine through twelve must be completed from the block of numbers assigned to the office constructing the number. A list of file number assignments may be found on pages 16 and 17.

# OFFICE FILE NUMBERS

<u>OFFICE</u>	<u>DESIGNATOR</u>	<u>REGION</u>	<u>FROM</u>	<u>TO</u>
HEADQUARTERS	OI	0	----	----
LONDON, ENGLAND	LN	0	0001	0499
PARIS, FRANCE	PA	0	0501	0999
ROME, ITALY	RM	0	1001	1499
FRANKFURT, GERMANY	FR	0	1501	1999
BONN, GERMANY	BB	0	2001	2499
TOKYO, JAPAN	TO	0	2501	3499
HONG KONG, B.C.C.	HK	0	3501	3999
MONTREAL, CANADA	MT	0	4001	4499
MEXICO CITY, MEXICO	MX	0	4501	4999
BOSTON, MASS	BO	1	0001	2499
NEW HAVEN, CONN	NH	1	2501	2999
NEWPORT, VT	NT	1	3001	3499
PORTLAND, ME	PM	1	3501	3999
HOULTON, ME	HT	1	4001	4999
BUFFALO, NY	BU	1	5001	5999
OGDENSBURG, NY	OG	1	6001	6499
ROUSES POINT, NY	RP	1	6501	7499
NEW YORK, NY	NY	2	0001	5999
JFK AIRPORT, NY	JK	2	6001	6999
NEWARK, NJ	NK	2	7001	9999
BALTIMORE, MD	BA	3	0001	0999
FALLS CHURCH, VA	DC	3	1001	2999
NORFOLK, VA	NF	3	3001	3999
PHILADELPHIA, PA	PH	3	4001	5499
PITTSBURGH, PA	PB	3	5501	5999
MIAMI, FLA	MI	4	0001	2499
WEST PALM BEACH, FLA	WP	4	2501	2999
TAMPA, FLA	TA	4	3001	3999
JACKSONVILLE, FLA	JX	4	4001	4499
SAN JUAN, PR	SJ	4	4501	4999
PONCE, PR	PN	4	5001	5249
MAYAGUEZ, PR	PN	4	5251	5499
ST. THOMAS, VI	ST	4	5501	5749
ST. CROIX, VI	CX	4	5751	5999
WILMINGTON, NC	WI	4	6001	6499
SAVANNAH, GA	SV	4	6501	6999
ATLANTA, GA	AT	4	7001	7499
CHARLESTON, SC	CT	4	7501	7999

<u>OFFICE</u>	<u>DESIGNATOR</u>	<u>REGION</u>	<u>FROM</u>	<u>TO</u>
NEW ORLEANS, LA	NO	5	0001	2499
NASHVILLE, TENN	NV	5	2501	2999
MOBILE, ALA	MO	5	3001	3999
HOUSTON, TEX	HO	6	0001	2499
DALLAS, TEX	DA	6	2501	3499
LAREDO, TEX	LD	6	3501	4499
SAN ANTONIO, TEX	SA	6	4501	4999
DEL RIO, TEX	DR	6	5001	5499
EAGLE PASS, TEX	EG	6	5501	5999
BROWNSVILLE, TEX	BV	6	6001	6999
MCALLEN, TEX	MC	6	7001	7499
EL PASO, TEX	EP	6	7501	8499
DENVER, COLO	DE	6	8501	8999
ALBUQUERQUE, NM	AL	6	9001	9499
LOS ANGELES, CALIF	LA	7	0001	2499
SAN DIEGO, CALIF	SD	7	2501	4999
CALEXICO, CALIF	CA	7	5001	5499
NOGALES, ARIZ	NG	7	5501	6499
TUCSON, ARIZ	TU	7	6501	6999
PHOENIX, ARIZ	PX	7	7001	7499
DOUGLAS, ARIZ	DO	7	7501	7999
SAN LUIS, ARIZ	SL	7	8001	8499
SAN FRANCISCO, CALIF	SF	8	0001	1999
SACRAMENTO, CALIF	SC	8	2001	2499
HONOLULU, HAWAII	HL	8	2501	2999
SEATTLE, WASH	SE	8	3001	3999
BLAINE, WASH	BL	8	4001	4999
SPOKANE, WASH	SP	8	5001	5499
ANCHORAGE, ALASKA	AN	8	5501	5999
GREAT FALLS, MONT	GF	8	6001	6999
PORTLAND, ORE	PT	8	7001	7999
CHICAGO, ILL	CH	9	0001	1999
MILWAUKEE, WISC	MK	9	2001	2499
ST. LOUIS, MO	SU	9	2501	2999
INDEPENDENCE, MO	KC	9	3001	3499
DULUTH, MINN	DU	9	3501	3999
MINNEAPOLIS, MINN	MS	9	4001	4499
PEMBINA, ND	PE	9	4501	4999
DETROIT, MICH	DT	9	5001	6499
CLEVELAND, OHIO	CL	9	6501	6999
INDIANAPOLIS, IND	IP	9	7001	7499

ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
01	Drawback	A	Administrative	B	Referred by ATF
		B	Verification of Statement Material	C	Referred by Customs Patrol Officers
		C	Verification of Claim	E	Referred by Customs Inspectors
		D	Verification of Certificates	F	Referred by FBI
		P	Other	H	Referred by Import Specialist
02	Classification	A	Administrative	J	Referred by DEA
		B	Obtain and/or verify value of component parts	K	Referred by CEIS
		C	Determine costs of parts before assembly process and furnish description of process	M	Referred by other Customs
		D	Examine purchase orders and related documents	N	Referred by Border Patrol
		P	Other	R	Initiated by Office of Investigations
03	Market Value	A	Administrative	S	Referred by State or Local
		B	Export Value	T	Referred by Department of Commerce
		C	Foreign Value	Y	Referred by other Federal agencies
		D	Constructed Value		Note: All other referrals will be considered as initiated by Office of Investigations.
		E	Cost of Production		
		F	Verify Invoice Values		
		G	Determine f o b vs ex-factory		
		H	Verify buying agency agreements		
		K	Verify relationship between manufacturer/seller/importer		
		L	Obtain price lists & catalogs		



ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
03 (cont'd.) 04	Smuggling Diamonds and Jewelry	P	Other	B	Referred by ATF
		A	Administrative	C	Referred by Customs Patrol Officers
		B	Diamonds, Cut	E	Referred by Customs Inspectors
		C	Diamonds, Uncut	F	Referred by FBI
		D	Diamonds, Industrial	H	Referred by Import Specialist
		E	Other Precious Stones	J	Referred by DEA
		F	Jade	K	Referred by CEIS
		H	Jewelry, Metal	M	Referred by other Customs
		K	Jewelry, Other	N	Referred by Border Patrol
		P	Other	R	Initiated by Office of Investigations
		A	Administrative	S	Referred by State or Local
		B	Vessel - Commercial shipment	T	Referred by Department of Commerce
		C	Passenger Aircraft, Vessel or Train	Y	Referred by other Federal agencies
		D	Crewmember Aircraft, Vessel or Train		Note: All other referrals will be considered as initiated by Office of Investigations.
		E	Ship stores		
		F	Private yacht or boat		
		G	Private aircraft		
	Smuggling Liquor	H	Military		
		K	Vehicle - Mexico		
		L	Vehicle - Canada		
05					

ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
05 (cont'd.) 06	Smuggling Controlled Substance Drugs	P	Other	B	Referred by ATF
		A	Administrative	C	Referred by Customs Patrol Officers
		B	Heroin info recvd for TECS and/or front-line action	E	Referred by Customs Inspectors
		C	Opium info recvd for TECS and/or front-line action	F	Referred by FBI
		D	Cocaine info recvd for TECS and/or front-line action	H	Referred by Import Specialist
		E	Hashish information recvd for TECS and/or front-line action	J	Referred by DEA
		F	Marihuana info recvd for TECS and/or front-line action	K	Referred by CEIS
		G	Other controlled drugs info recvd for TECS and/or front-line action	M	Referred by other Customs
		H	Heroin	N	Referred by Border Patrol
		J	Opium	R	Initiated by Office of Investigations
		K	Cocaine	S	Referred by State or Local
		L	Hashish	T	Referred by Department of Commerce
		M	Marihuana	Y	Referred by other Federal agencies
		N	Other controlled drugs		Note: All other referrals will be considered as initiated by Office of Investigations.
		A	Administrative		
07	General Smuggling	B	Gold or other Precious Metal		
		C	Coins		

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
07 (cont'd.)		D	Vehicles, Boats and Aircraft	B	Referred by ATF
		E	Watches and/or watch movements	C	Referred by Customs Patrol Officers
		F	Cameras and/or photographic equipment	E	Referred by Customs Inspectors
		G	Explosives	F	Referred by FBI
		H	Electronic Equipment	H	Referred by Import Specialist
		K	Pre-Columbian art	J	Referred by DEA
		L	Artifacts	K	Referred by CEIS
		M	Parrots - Psittacine Birds	M	Referred by other Customs
		N	Paintings	N	Referred by Border Patrol
		R	Animal Semen	R	Initiated by Office of Investigations
		S	Food or Food Products	S	Referred by State or Local
		T	Firearms	T	Referred by Department of Commerce
		W	Fish and/or fish products	Y	Referred by other Federal agencies
		Y	Quinine	Note: All other referrals will be considered as initiated by Office of Investigations.	
		P	Other		
		A	Administrative		
		B	False Valuation		
		C	Country of Origin		
08	Fraud	D	False Classification		
		E	Quota		

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
08 (Cont'd.)		F	False buying commission	B	Referred by ATF
		G	Undeclared assists	C	Referred by Customs Patrol Officers
		H	Overstatement of non-dutiable charges, i.e., Freight, insurance packing charges, false ex-factory claim	E	Referred by Customs Inspectors
		K	800 TA	F	Referred by FBI
		L	806 TA	H	Referred by Import Specialist
		M	807 TA	J	Referred by DEA
		A	Administrative	K	Referred by CEIS
		B	Abortions, Articles for causing	M	Referred by other Customs
		C	Conception, Articles for prevention	N	Referred by Border Patrol
		D	Convict, Forced or indentured labor, goods made by	R	Initiated by Office of Investigations
09 Prohibited		E	Immoral articles and/or obscene matter	S	Referred by State or Local
		F	Seditious or Treasonable	T	Referred by Department of Commerce
		G	Plumage of wild birds	Y	Referred by other Federal agencies
		H	Postage stamps, Facsimiles of uncanceled		Note: All other referrals will be considered as initiated by Office of Investigations.
		K	Securities and Illustrations		
		L	Serums		
		M	Switchblade knives or other illegal weapons		
		N	Tea, Impure		
		R	Toxins		

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
09 (Cont'd.)		S	Unfair competition articles	B	Referred by ATF
		T	Viruses	C	Referred by Customs Patrol Officers
		W	Whales or whale products	E	Referred by Customs Inspectors
		Y	Wild Animals	F	Referred by FBI
		P	Other	H	Referred by Import Specialist
		A	Administrative	J	Referred by DEA
10	Organized Crime and Racketeering	B	Non-Customs Violation - Strike Force Related	K	Referred by CEIS
		C	Non-Customs Violation - Non-Strike Force Related	M	Referred by other Customs
		P	Other	N	Referred by Border Patrol
		A	Administrative	R	Initiated by Office of Investigations
		B	Private Vehicle	S	Referred by State or Local
		C	Private Vessel	T	Referred by Department of Commerce
11	Navigation	D	Private Aircraft	Y	Referred by other Federal agencies
		E	Commercial Vehicle		Note: All other referrals will be considered as initiated by Office of Investigations.
		F	Commercial Vessel		
		G	Commercial Aircraft		
		H	Railroad car		
		P	Other		
12	Marking (Country of Origin)	A	Administrative		

ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
12 (cont'd.)		B	Not Marked	B	Referred by ATF
		C	False Marking	C	Referred by Customs Patrol Officers
		D	Illegible Marking		
		P	Other	E	Referred by Customs Inspectors
		A	Administrative	F	Referred by FBI
		B	Fur Coats	H	Referred by Import Specialist
		C	Jewelry	J	Referred by DEA
		D	Diamonds and/or Other Precious Stones	K	Referred by CEIS
		E	Liquor	M	Referred by other Customs
		F	Gold	N	Referred by Border Patrol
13 Baggage Declaration Violation		G	Coins	R	Initiated by Office of Investigations
		H	Wearing Apparel	S	Referred by State or Local
		K	Watches	T	Referred by Department of Commerce
		L	Firearms and/or Other Weapons	Y	Referred by other Federal agencies
		M	Cameras and/or Photographic equipment		
		N	Art Objects		
		R	Antiques		
		P	Other		
		A	Administrative		
		B	Corporate Original Investigation		
14 Customhouse Brokers					

Note: All other referrals will be considered as initiated by Office of Investigations.

ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
14 (cont'd.)		C	Individual Original Investigation	B	Referred by ATF
		D	Partnership or Association, Original Investigation	C	Referred by Customs Patrol Officers
		E	Corporate, Re-investigation	E	Referred by Customs Inspectors
		F	Individual, Re-investigation	F	Referred by FBI
		G	Partnership or Association, Re-investigation	H	Referred by Import Specialist
		P	Other	J	Referred by DEA
		A	Administrative	K	Referred by CEIS
15  Customhouse License		B	Cartmen, Original Investigation	M	Referred by other Customs
		C	Lightermen, Original Investigation	N	Referred by Border Patrol
		D	Container Stations, Original Investigation	R	Initiated by Office of Investigations
		E	Approved Premises, Original Investigation	S	Referred by State or Local
		F	Bonded Warehouse, Original Investigation	T	Referred by Department of Commerce
		G	Identification Cards, Original Investigation	Y	Referred by other Federal agencies
		H	Cartmen, Re-investigation		
		K	Lightermen, Re-investigation		
		L	Container Station, Re-investigation		
		M	Approved premises, Re-investigation		
		N	Bonded warehouse, Re-investigation		
		R	Identification Cards, Re-investigation		
		P	Other		
Note: All other referrals will be considered as initiated by Office of Investigations.					

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
16	Customs Bonds	A	Administrative	B	Referred by ATF
		B	Issuance of	C	Referred by Customs Patrol Officers
		C	Sufficiency of Surety	E	Referred by Customs Inspectors
		D	Violation of terms	F	Referred by FBI
		P	Other	H	Referred by Import Specialist
17	Petitions for Relief	A	Administrative	J	Referred by DEA
		B	Agent Vehicle Seizure Action	K	Referred by CEIS
		C	Agent Vessel Seizure Action	M	Referred by other Customs
		D	Agent Aircraft Seizure Action	N	Referred by Border Patrol
		E	Agent Merchandise Seizure Action	R	Initiated by Office of Investigations
		F	Agent Penalty Action	S	Referred by State or Local
		G	Agent other Action	T	Referred by Department of Commerce
		H	Inspector Vehicle Seizure Action	Y	Referred by other Federal agencies
		K	Inspector Vessel Seizure Action		Note: All other referrals will be considered as initiated by Office of Investigations.
		L	Inspector Aircraft Seizure Action		
		M	Inspector Merchandise Seizure Action		
		N	Inspector Penalty Action		
		R	Inspector - Other Action		
		S	CP0 Vehicle Seizure Action		
		T	CP0 Vessel Seizure Action		



ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
17 (cont'd.)		W	CP0 Aircraft Seizure Action	B	Referred by ATF
		Y	CP0 Merchandise Seizure Action	C	Referred by Customs Patrol Officers
		Z	CP0 - Other Action	E	Referred by Customs Inspectors
		J	Secret Service Seizure Action	F	Referred by FBI
		P	Other	H	Referred by Import Specialist
18	Personnel Dereliction	A	Administrative	J	Referred by DEA
		P	All	K	Referred by CEIS
19	Customs Procedure	A	Administrative	M	Referred by other Customs
		B	Appraisement & Collections	N	Referred by Border Patrol
		C	Inspection & Control	R	Initiated by Office of Investigations
		D	Classification & Value	S	Referred by State or Local
		E	Entry Procedures & Penalties	T	Referred by Department of Commerce
		F	Carriers, Drawback & Bonds	Y	Referred by other Federal agencies
		P	Other		
20	Collection of Duties and Penalties	A	Administrative		
		B	Collection of Duties		
		C	Collection of Penalties		
		P	Other Collections		
		A	Administrative		
21	Dumping	B	Presentation		

Note: All other referrals will be considered as initiated by Office of Investigations.

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
21 (cont'd.)		C	Assist Manufacture/Exporter in Compiling Data	B	Referred by ATF
		D	Verification of Submitted Data	C	Referred by Customs Patrol Officers
		P	Other	E	Referred by Customs Inspectors
22	Other Departments, Bureaus and Agencies	A	Administrative	F	Referred by FBI
		B	ATF	H	Referred by Import Specialist
		C	Secret Service	J	Referred by DEA
		D	IRS	K	Referred by CEIS
		E	Dept. Of Interior	M	Referred by other Customs
		F	FBI	N	Referred by Border Patrol
		G	Agriculture	R	Initiated by Office of Investigations
		H	Public Health	S	Referred by State or Local
		J	DEA	T	Referred by Department of Commerce
		K	Interpol	Y	Referred by other Federal agencies
		L	State Police		Note: All other referrals will be considered as initiated by Office of Investigations.
		M	Local Police		
		N	Immigration & Naturalization		
		R	Military		
		S	Other Federal		
		T	Canada - RCMP		
		W	Mexican Authorities		
		Y	Other Foreign		

ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
22 (cont'd.) 23	Neutrality	P	Other	B	Referred by ATF
		A	Administrative	C	Referred by Customs Patrol Officers
		B	Weapons - Automatic	E	Referred by Customs Inspectors
		C	Weapons - Semi-Automatic	F	Referred by FBI
		D	Weapons - Handguns	H	Referred by Import Specialist
		E	Weapons - Shotguns	J	Referred by DEA
		F	Weapons - Rifles	K	Referred by CEIS
		G	Weapons - Explosives	M	Referred by other Customs
		H	Weapons - Other	N	Referred by Border Patrol
		K	Explosives	R	Initiated by Office of Investigations
		L	Ammunition	S	Referred by State or Local
		M	Aircraft	T	Referred by Department of Commerce
		N	Vessels	Y	Referred by other Federal agencies
		R	Vehicles		Note: All other referrals will be considered as initiated by Office of Investigations.
		S	Electronic Equipment		
		T	Military Equipment & Parts		
		P	Other		
		A	Administrative		
24	Theft, Loss, Damage & Shortage	B	Bonded Warehouse		
		C	Piers & Terminals		

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
24 (cont'd.)		D	Foreign Trade Zone	B	Referred by ATF
		E	Container Station	C	Referred by Customs Patrol Officers
		F	Railroad Yard	E	Referred by Customs Inspectors
		G	Off Facility Locations - Air Cargo Terminal	F	Referred by FBI
		K	HIJACK - Bonded truck	H	Referred by Import Specialist
		L	Travel Terminals	J	Referred by DEA
		P	Other	K	Referred by CEIS
		A	Administrative	M	Referred by other Customs
		B	Cameras	N	Referred by Border Patrol
		C	Lenses	R	Initiated by Office of Investigations
25 Trademark & Copyright		D	Binoculars	S	Referred by State or Local
		E	Optical Goods	T	Referred by Department of Commerce
		F	Photographic Supplies	Y	Referred by other Federal agencies
		G	Musical Instruments		Note: All other referrals will be considered as initiated by Office of Investigations.
		H	Electronic Products - Radios, Tape Recorders, television equipment, etc.		
		K	Books, Literary		
		L	Books, Reference		
		M	Books, Text		
		N	Motion Pictures		

ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
25 (cont'd.)		R	Records & Tape Recordings	B	Referred by ATF
		S	Perfume	C	Referred by Customs Patrol Officers
		T	Sheet Music	E	Referred by Customs Inspectors
		P	Other	F	Referred by FBI
		A	Administrative	H	Referred by Import Specialist
26	Illegal Exports	B	Aircraft	J	Referred by DEA
		C	Vehicles	K	Referred by CEIS
		D	Vessels	M	Referred by other Customs
		E	Munitions	N	Referred by Border Patrol
		F	Electronics	R	Initiated by Office of Investigations
		P	Other	S	Referred by State or Local
		A	Administrative	T	Referred by Department of Commerce
		B	Failure to deliver to Consignee	Y	Referred by other Federal agencies
		C	Merchandise short shipped		Note: All other referrals will be considered as initiated by Office of Investigations.
		D	Excess Merchandise		
27	Irregular Deliveries	E	Unauthorized Direct Delivery by Carrier without Customs supervision		
		P	Other		
		A	Administrative		
		B	Failure to deliver to Consignee		
		C	Merchandise short shipped		
28	Federal Tort Claims	D	Excess Merchandise		
		E	Unauthorized Direct Delivery by Carrier without Customs supervision		
		P	Other		
		A	Administrative		
		B	Auto Accidents		
		C	Boat Accidents		

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
28 (cont'd.)		D	Aircraft Accidents	B	Referred by ATF
		E	Property Damage	C	Referred by Customs Patrol Officers
		F	Personal Injury	E	Referred by Customs Inspectors
		P	Other	F	Referred by FBI
29	Personnel Background Investigation	A	Administrative	H	Referred by Import Specialists
		B	Special agents	J	Referred by DEA
		C	CPO	K	Referred by CEIS
		D	Customs Inspector	M	Referred by other Customs
		E	Clerical	N	Referred by Border Patrol
		F	Management	R	Initiated by Office of Investigations
		P	Other	S	Referred by State or Local
30	Criminal Cases, All Other	A	Administrative	T	Referred by Department Commerce
		B	Assault, on Customs Inspector	Y	Referred by other Federal agencies
		C	Assault on CPO		Note: All other referrals will be considered as initiated by Office of Investigations.
		D	Assault on Special Agent		
		E	Assault on Other		
		P	Other		
31	Countervailing Duties	A	Administrative		
		P	Other		
32	Currency & Financial Records	A	Administrative		
		B	Export - Narcotic Suspect		
		C	Export - Organized Crime Courier		

# ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
32 (cont'd.)		D	Export - Tax Evasion	B	Referred by ATF
		E	Export - Other	C	Referred by Customs Patrol Officers
		F	Import - Narcotic Suspect	E	Referred by Customs Inspectors
		G	Import - Organized Crime Courier	F	Referred by FBI
		H	Import - Tax Evasion	H	Referred by Import Specialist
		K	Import - Other	J	Referred by DEA
		P	Other	K	Referred by CEIS
		B	TLEOTS	M	Referred by other Customs
50	Training	C	Customs Agent School	N	Referred by Border Patrol
		D	Customs Fraud School	R	Initiated by Office of Investigations
		E	Customs Computer School	S	Referred by State or Local
		F	Customs Management School	T	Referred by Department of Commerce
		G	Customs Import Specialist School	Y	Referred by other Federal agencies
		H	Other Customs Training		Note: All other referrals will be considered as initiated by Office of Investigations.
		K	Supervisor Training		
		L	Instructor Training		
		M	Other Civil Service Training Courses		
		N	Foreign Service Institute		
		P	Other Training		
51	Detail	B	Office of Investigations Programs		

ALPHA DESIGNATORS IN FILE NUMBER

CATEGORY NUMBER	DESCRIPTION OF INVESTIGATION	SUB-CATEGORY	DESCRIPTION OF SUB-CATEGORY	SOURCE	DESCRIPTION OF SOURCE
51 (cont'd.)	<p>Note: This category is to be used only when time is not reported in another category.</p> <p>Administrative</p> <p>Intelligence Gathering and Liaison</p> <p>Note: Do not report time in this category if time is reported elsewhere.</p>	C	Customs International Operations Division Programs	B	Referred by ATF
		D	Air Security Program	C	Referred by Customs Patrol Officers
		E	Programs for other Customs	E	Referred by Customs Inspectors
		F	Secret Service Protection Details	F	Referred by FBI
		G	Other Federal Agency Programs	H	Referred by Import Specialist
		P	Other	J	Referred by DEA
		B	Supervisory Duties	K	Referred by CEIS
		C	Preparing administrative reports and all other on-the-job time not reported elsewhere	M	Referred by other Customs
		D	Leave	N	Referred by Border Patrol
		P	All	R	Initiated by Office of Investigations
52				S	Referred by State or Local
				T	Referred by Department of Commerce
53				Y	Referred by other Federal agencies
					Note: All other referrals will be considered as initiated by Office of Investigations.



## INSTRUCTIONS FOR SPECIAL CATEGORIES 50, 51, 52, & 53

A considerable amount of agent time is spent in job related activity which cannot be accounted for as being case related. The time spent in such activities has not been reported and has resulted in a serious man-year deficit in our reports to OMB, Treasury, GAO and other interested agencies. To correct this deficiency, the following special categories have been established:

CATEGORY 50	TRAINING	CATEGORY 52	ADMINISTRATIVE
CATEGORY 51	DETAIL	CATEGORY 53	LIAISON & INTELLIGENCE GATHERING

The system does not anticipate each agent carrying cases in these categories. Instead a single yearly office case will be opened and all agents assigned to that office will report their time under that number by utilizing a Form 64A (participating agent record).

To control the above special category cases the following rules should be applied:

Each calendar year, when time is first reported in a special activity, the appropriate special category case should be opened by utilizing a Form 9. This case should be assigned to the office supervisor (RDI, SAC or RA) and should remain open for the rest of that year. All agents expending time in that category will then report their time as participating agents under that number.

At the end of each year a CF 64 (Case Status Record) must be prepared to close the case. If the office supervisor wishes to report time he will do so by utilizing the CF 64. (See "Note" on page 36 for supervisory time.)

By following the above rules, an office will open cases only in the categories where time is actually expended and only one case in any special category will be opened each year.

In constructing the twelve character special category case number, follow the instructions contained on pages 14 and 15 of this manual except that the sixth (source) character will always be R. (For statistical purposes, it is assumed that all special category cases are initiated by the Office of Investigations.)

ments. Supervisors who do carry investigative cases are  
exempt from all LPA reporting requirements. Supervisors who do carry investigative cases are  
required to report only those cases actually assigned to

Category 52B (Supervisory duties) is to be used only to report time spent by an agent who is acting in the absence of a supervisor.

#### IV. INPUT

The input into this system will be three forms: Case Assignment Record (CF 9); The Status and Disposition Record (CF 64); and the Participating Agent Record (CF 64A).

The Status and Disposition Record is designed to provide the field with a format for reporting facts and circumstances concerning our investigations and related enforcement actions.

The Participating Agent Record is designed to report the hours an agent spends on a case which is assigned to someone else or to report the hours he spends in categories 50, 51, 52, or 53.

The CF 9 should be prepared and properly disseminated when a case is assigned or transferred to an agent.

The CF 64 should be prepared and submitted once every 30 days on an open case and when the status of an investigation changes from open to disposition pending or closed.

When statistical data such as arrests, seizures, or penalties, or the disposition of such arrests, seizures, or penalties becomes known, a CF 64 should be prepared and submitted whether the case status is open, disposition pending, or closed.

The CF 64A should be prepared and submitted each time an agent participates in an investigation which is assigned to someone else; each time an agent completes a training assignment or special detail; and once every 30 days to account for time spent in categories 52 and 53.

It is preferred but not necessary that these forms be typed; however, clear printing in ink is acceptable. Errors which enter the system will be all but impossible to correct. Extreme thought and care should be exercised in the preparation of these forms.

# INSTRUMENT RECORD (SEE INSTRUCTIONS BELOW)

1. DATE ASSIGNED (Mo., Day, Yr.) 01 01 74		2. CASE DISPOSITION (Check One) <input checked="" type="checkbox"/> Open <input type="checkbox"/> Transferred		3. CASE NUMBER B A - 0 8 - E - R - 4 7 2	
4. CASE ASSIGNED TO (Agents Name & Soc. Sec. No.)				5. CASE TRANSFERRED FROM (Agents Name & Soc. Sec. No.)	
6. PERSON/FIRM				7. ADDRESS (No., Street, City, State, Zip code)	
8. SOURCE:					
9. NATURE OF CASE					

INSTRUCTIONS

1. Date will be in numeric form, e.g., March 29, 1971 will be entered: 03 29 71.

2. Check appropriate box.

3. Case number format must be in accordance with the rules cited on pages 137-139 of the CADPIN Manual.

4. Enter name and social security number of agent the being assigned to. This will apply to new cases or transfers. (Use stamp)

5. If case is being transferred, enter name and social security number of agent the case is being transferred from. (Use stamp)

Customs Form 9 (7/71)

1. SAC'S COPY

## INSTRUCTIONS ON PREPARATION OF CASE ASSIGNMENT RECORD (CF 9)

The Case Assignment Record is a four-part, snap-out form. The original, colored white, designated SAC's Copy, should be forwarded to the Office of Investigations. The first copy, colored green, designated Data Input Copy, should be forwarded to the Law Enforcement Data Processing Division, 2265 India Street, San Diego, California. The second copy, colored pink and designated Senior Resident's Copy, should be maintained in the originating office as a control copy. The last copy, colored yellow, designated Agent's Copy, should be issued to the agent assigned to the investigation. It should be noted that the Data Input Copy contains no information below box number 5. Once the information appears in the office printout, the control copy becomes obsolete.

The Case Assignment Record contains nine (9) boxes:

### 1. DATE

Numerically show the date the form is prepared. Include 0's where applicable. Examples:

January 1, 1974	01 01 74
June 30, 1974	06 30 74
November 11, 1974	11 11 74

(Note: No dashes and no slashes)

### 2. CASE DISPOSITION

This refers to the reason for preparing the form. If the case is being assigned for the first time or being reopened for investigation, check the box "Open". If the case is being reassigned from one agent to another, check the box "Transferred".

# CASE ASSIGNMENT RECORD

(SEE INSTRUCTIONS BELOW)

1. DATE ASSIGNED (Mo., Day, Yr.) 01 01 74	2. CASE DISPOSITION (Check One) <input checked="" type="checkbox"/> Open <input type="checkbox"/> Transferred	3. CASE NUMBER B A - 0 8 - E - R - 4 7 2 5
4. CASE ASSIGNED TO (Agents Name & Soc. Sec. No.) MARCUS J. KITCHELT 579 18 9533		5. CASE TRANSFERRED FROM (Agents Name & Soc. Sec. No.)
6. PERSON/FIRM		7. ADDRESS (No., Street, City, State, Zip code)
8. SOURCE:		
9. NATURE OF CASE		

## INSTRUCTIONS

1. Date will be in numeric form, e.g., March 29, 1971 will be entered: 03 29 71.
2. Check appropriate box.
3. Case number format must be in accordance with the rules cited on pages 137-139 of the CADPIN Manual.
4. Enter name and social security number of agent the case is being assigned to. This will apply to new cases or transfer cases. (Use stamp)
5. If case is being transferred, enter name and social security number of agent the case is being transferred from. (Use stamp)

Customs Form 9 (7/71)

1. SAC'S COPY

### 3. CASE NUMBER

The instructions on preparing this box have been previously described on pages 13 - 36 of this manual. A Customs Form 9 is only prepared when the case number has a letter other than A as the fifth character. This indicates that it is an investigative case and should be added to the Investigative Program Analysis system.

Administrative cases identified by the letter A do not enter the system.

It is important to remember that all twelve boxes of the case number must be completed and where applicable, 0's must replace blanks.

The example on the opposite page shows the case number --  
BA 08 E R 472501.

BA = Case assigned in the Baltimore, Maryland office.

08 = Category is fraud.

E = Sub-category is quota violation.

R = Source originated in Office of Investigations.

4 = Calendar year 1974.

7 = Originated in Region 7 (Los Angeles).

2501 = Subjects of this investigation are assigned this case number and the case originated at San Diego, California.  
(This is a collateral investigation.)

**CASE ASSIGNMENT RECORD**

(SEE INSTRUCTIONS BELOW)

1. DATE ASSIGNED (Mo., Day, Yr.) 01 01 74	2. CASE DISPOSITION(Check One) <input checked="" type="checkbox"/> Open <input type="checkbox"/> Transferred	3. CASE NUMBER B A - 0 8 - E - R - 4 7 2 5 0 1
4. CASE ASSIGNED TO (Agents Name & Soc. Sec. No.) MARCUS J. KITCHELT 579 18 9533		5. CASE TRANSFERRED FROM (Agents Name & Soc. Sec. No.)
6. PERSON/FIRM White Dove Flour Company		7. ADDRESS (No., Street, City, State, Zip code) 121 Wheat Street, Pharr, Texas
8. SOURCE: Office		
9. NATURE OF CASE Possible Quota Violation on importation of wheat.		

**INSTRUCTIONS**

1. Date will be in numeric form, e.g., March 29, 1971 will be entered: 03 29 71.
2. Check appropriate box.
3. Case number format must be in accordance with the rules cited on pages 137-139 of the CADPIN Manual.
4. Enter name and social security number of agent the case is being assigned to. This will apply to new cases or transferred cases. (Use stamp)
5. If case is being transferred, enter name and social security number of agent the case is being transferred from. (Use stamp)

Customs Form 9 (7/71)

1. SAC'S COPY

THE DEPARTMENT OF THE TREASURY  
BUREAU OF CUSTOMS

**CASE ASSIGNMENT RECORD**

(SEE INSTRUCTIONS BELOW)

1. DATE ASSIGNED (Mo., Day, Yr.) 01 01 74	2. CASE DISPOSITION(Check One) <input checked="" type="checkbox"/> Open <input type="checkbox"/> Transferred	3. CASE NUMBER B A - 0 8 - E - R - 4 7 2 5 0 1
4. CASE ASSIGNED TO (Agents Name & Soc. Sec. No.) MARCUS J. KITCHELT 579 18 9533		5. CASE TRANSFERRED FROM (Agents Name & Soc. Sec. No.)

Customs Form 9 (7/71)

2. DATA INPUT COPY



4. CASE ASSIGNED TO

Enter the full name and social security number of the special agent who is assigned to this investigation. To avoid error, it is recommended that a rubber stamp with at least 1/8" print be obtained showing the name and social security number of each special agent.

5. CASE TRANSFERRED FROM

When a case is being reassigned, this box will identify the agent who had conducted the investigation up until this date.

6. PERSON/FIRM

Identifies the person(s) or firm(s) as the subject(s) of this investigation.

7. ADDRESS

Contains the address, if known, of the subject(s) of this investigation.

8. SOURCE

Identifies the source of the information which initiated the opening of this investigation.

9. NATURE OF THE CASE

This is a description of the violation or facts which are under investigation.

(Note: Data Input Copy contains no information below box 5.)

THE DEPARTMENT OF THE TREASURY  
BUREAU OF CUSTOMS

CASE ASSIGNMENT RECORD

(SEE INSTRUCTIONS BELOW)

1. DATE ASSIGNED (Mo., Day, Yr.) 09 07 74	2. CASE DISPOSITION (Check One) <input type="checkbox"/> Open <input checked="" type="checkbox"/> Transferred	3. CASE NUMBER B A — 0 8 — E — R — 4 7 2 5 0
4. CASE ASSIGNED TO (Agents Name & Soc. Sec. No.) WILLIAM T. KECK 218 36 6495		5. CASE TRANSFERRED FROM (Agents Name & Soc. Sec. No.) MARCUS J. KITCHELT 579 18 9533
6. PERSON/FIRM White Dove Flour Company		7. ADDRESS (No., Street, City, State, Zip code) 121 Wheat Street, Pharr, Texas
8. SOURCE: Office		
9. NATURE OF CASE Possible Quota Violation on importation of wheat.		

INSTRUCTIONS

1. Date will be in numeric form, e.g., March 29, 1971 will be entered: 03 29 71.
2. Check appropriate box.
3. Case number format must be in accordance with the rules cited on pages 137-139 of the CADPIN Manual.
4. Enter name and social security number of agent the case is being assigned to. This will apply to new cases or transfer cases. (Use stamp)
5. If case is being transferred, enter name and social security number of agent the case is being transferred from. (Use stamp)

Customs Form 9 (7/71)

1. SAC'S COPY

THE DEPARTMENT OF THE TREASURY  
BUREAU OF CUSTOMS

CASE ASSIGNMENT RECORD

(SEE INSTRUCTIONS BELOW)

1. DATE ASSIGNED (Mo., Day, Yr.) 09 07 74	2. CASE DISPOSITION (Check One) <input type="checkbox"/> Open <input checked="" type="checkbox"/> Transferred	3. CASE NUMBER B A — 0 8 — E — R — 4 7 2 5 0 1
4. CASE ASSIGNED TO (Agents Name & Soc. Sec. No.) WILLIAM T. KECK 218 36 6495		5. CASE TRANSFERRED FROM (Agents Name & Soc. Sec. No.) MARCUS J. KITCHELT 579 18 9533

Customs Form 9 (7/71)

2. DATA INPUT COPY

### EXAMPLE OF A TRANSFERRED CASE

1. 01 17 74 (no dash or slash) - The date transferred is January 17, 1974.
2. Transferred box correctly indicated.
3. Case number remains the same.
4. Name and social security number of agent now responsible for investigating and closing this case.
5. Name and social security number of agent who has investigated this case up to this date.

Note: If name and/or social security number are illegible when forwarded for data input, they will be returned.

6-9 Remain the same.

NOTE: The system will permit a case to be transferred only once in a reporting period. A reporting period runs from the last Tuesday in one month through the last Tuesday of the next month.

## INSTRUCTIONS FOR REOPENING A CASE

Occasionally cases which are closed need to be reopened for further investigation because of a successful appeal or other action. IPA is now programmed to handle this situation.

To reopen a case, follow the instructions as contained on pages 39 - 45. Block 1 - date reopened; Block 2 - should show open; Block 3 - case number as it appeared on the last Form 9 submitted; Block 4 - agent now assigned; Block 5 - last agent assigned if different than Block 4; remainder of data as it appeared on the last Form 9 submitted on this case. If the case is also to be transferred, check both "Open" and "Transferred" boxes and complete blocks 4 and 5.

The word "REOPEN" should be stamped in red above Block 2. The stamp should be at least 1/4 inch in height.

The form should then be submitted as described on page 39.

EXAMPLE:

THE DEPARTMENT OF THE TREASURY BUREAU OF CUSTOMS		CASE ASSIGNMENT RECORD <b>REOPEN</b> (SEE INSTRUCTIONS BELOW)	
1. DATE ASSIGNED (Mo., Day, Yr.) 08 07 74	2. CASE DISPOSITION (Check One) <input checked="" type="checkbox"/> Open <input type="checkbox"/> Transferred	3. CASE NUMBER B A - 0 8 - E - R - 4 7 2 5 0 1	
4. CASE ASSIGNED TO (Agents Name & Soc. Sec. No.) MARCUS J. KITCHELT 579 18 9533		5. CASE TRANSFERRED FROM (Agents Name & Soc. Sec. No.)	
6. PERSON/FIRM White Dove Flour Company		7. ADDRESS (No., Street, City, State, Zip code) 121 Wheat Street, Pharr, Texas	
8. SOURCE: Office			
9. NATURE OF CASE Possible Quota Violation on importation of wheat.			
INSTRUCTIONS			
1. Date will be in numeric form, e.g., March 29, 1971 will be entered: 03 29 71.		4. Enter name and social security number of agent the case is being assigned to. This will apply to new cases or transferred cases. (Use stamp)	
2. Check appropriate box.		5. If case is being transferred, enter name and social security number of agent the case is being transferred from. (Use stamp)	
3. Case number format must be in accordance with the rules cited on pages 137-139 of the CADPIN Manual.			
Customs Form 9 (7/71)		1. SAC'S COPY	

THE INSTRUCTIONS FOR PREPARING THE STATUS AND DISPOSITION  
RECORD (CF 64)

The purpose of a Customs Form 64 is twofold:

1. To supply a format for closing investigations and forwarding the hours spent on those investigations by the case agent.
2. To record all statistical information. The format for reporting this information must be followed on all CF 64's. Reporting regular or joint investigations conducted by special agents requires the submission of a CF 9 prior to the submission of a CF 64.

(Statistical information resulting from investigations which have been closed for a considerable period of time and the status of which should have been disposition pending can also be submitted on a CF 64 without having a prior CF 9.)

The Status and Disposition Record is broken into ten sections. The following pages will identify the use of each section and illustrate examples.

The first four sections will probably be the only sections required on a majority of investigations.

When information is not available or not applicable, these sections of CF 64 should be blank.

Note: A CF 64 must be submitted on each open case at least once every 30 days.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. BA08ER472501		2. DATE (Mo/Da/Yr) 09 30 74		3. CASE HOURS (Case Agent Only)		
4. STATUS <input type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER			5. COURT HOURS (Case Agent Only)			
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES		6D. TYPE	6E. REFERRAL FROM U.S.C.
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P R E V E N I E N T E S & L O S S E S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION

## 1. CASE NUMBER

This box will follow a format previously described on pages 13 - 34 of this manual. A case number which has the letter A as the fifth character is not applicable to the Investigative Program Analysis system and should never appear on a CF 64.

The example indicates that this case number is a Baltimore investigation for fraud; that it is a quota violation; it was originated by the Office of Investigations; it originated in 1974 in Region 7 at San Diego; and that the subjects of investigation are assigned number 2501.

The case number on a CF 64 is the only connection with the information previously entered into this system on CF 9. Case numbers which are inaccurate will result in information being assigned to the wrong investigation and/or information being completely lost. Extreme care should be used in preparing this box as well as all boxes on this form.

## 2. DATE

The date is numerically shown and contains 0's where applicable. The date indicates when this form is prepared. Information received at the end of the reporting period may not appear until the next reporting period; therefore, the date appearing on a Form 64 and the date appearing on the monthly printout may differ by a few days. The example on the opposite page shows the date as September 30, 1974.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. BA08ER472501		2. DATE (Mo/Da/Yr) 09 30 74		3. CASE HOURS (Case Agent Only) 56		
4. STATUS <input checked="" type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER			5. COURT HOURS (Case Agent Only)			
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P E N A L T I E S & L O S S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION



### 3. TOTAL CASE HOURS (CASE AGENTS ONLY)

This box is used to furnish only the number of hours worked by the case agent on this investigation. The hours worked by other agents will be reported on a Form 64A. The number must be whole; that is, do not use 1/2 or .5. It must be reported as 1, 20, etc.

The box should not contain hours spent on investigative cases by CPO's, CSO's, participating agents or clerks.

In the event that several Form 64's are submitted while the status of the investigation is open, then this box should be used to show only the number of hours worked by the case agent since the previous report.

The total hours worked by the case agent and participating agents are added together by the computer and will be printed upon closing the case. The purpose for reporting hours is to supply raw data for analysis of work trends.

The example on the opposite page shows 56 hours. This means that the case agent worked on this investigation for 56 hours. Assuming that a previous Form 64 had been reported while the case was still open and that at that time, 14 hours were reported in box 3, then our final report would list the total case agent case hours as 70.

### 4. STATUS

A case may have one of three states: OPEN, DISPOSITION PENDING; or CLOSED. The appropriate time for indicating the status of the investigation is described on page 6 of this manual. The additional box, "Other", checked together with the "Closed" box is used to report statistics concerning the disposition of arrests, seizures, and penalties on cases which were closed prior to December 15, 1971.

The example shows a check in the "Open" box indicating that the investigation is continuing.



1. CASE NO. BA08ER472501		2. DATE (Mo/Da/Yr) 09 30 74		3. CASE HOURS (Case Agent Only) 56			
4. STATUS <input checked="" type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only) 55					
A R R E S T S	6A. CUSTOMS VIOLATIONS		6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
S E I Z U R E S	7A. SEIZURE NO.		7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P E N A L T I E S & L O S S	8A. PENALTY NO.		8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES	
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION	

The preceding sections must be completed on each Customs Form 64 which is submitted.

If the investigation is continuing (status - open) and there is no statistical information to report, then the form should be submitted at least once every 30 days. If the status of the investigation changes or any statistical information such as arrests, seizures, penalties, or disposition of arrests, seizures, or penalties becomes available, then a CF 64 should be prepared and submitted.

#### 5. COURT HOURS (CASE AGENT ONLY)

Report all hours spent by the case agent only in the criminal proceedings resulting from this investigation. The time should include: locating and transporting witnesses; guarding and protecting defendants and witnesses; travelling to and from legal proceedings; pre-trial and pre-hearing conferences; transporting and guarding witnesses and evidence; awaiting to testify; and testifying at hearings and trials.

The example shows 55 hours in box 5. This means the case agent spent 55 hours on the legal aspects of the criminal proceedings resulting from this case. Hours spent by other agents will be individually reported on a Form 64A.

#### 6. ARRESTS

Section 6 is divided into five boxes. When reporting arrests, refer to the definition of arrests on page 7 of this manual.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. BA08ER472501		2. DATE (Mo/Da/Yr) 09 30 74		3. CASE HOURS (Case Agent Only) 56		
4. STATUS <input checked="" type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only) 55				
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
	2	FRD				
	2	GEM				
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P E N A L T I E S & L O S S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION

## 6A Customs Violation

Indicate with numeric characters the number of violators arrested for a specific Customs violation. A person arrested for a Customs violation is one who is taken into custody and subsequently charged for this violation at a legal proceeding or released after a declination by the U. S. Attorney. Violators arrested for multiple offenses are reported as one arrest.

The example shows two people arrested for fraud and two people arrested for smuggling general merchandise for a total of four arrests. Any one of these four violators could be charged with either or both of these violations, and the reporting agent must decide which violation will be indicted. A person who is arrested for another agency after the U. S. Attorney declines prosecution will be reported as a Customs arrest in box 6A; a declination in box 9E; agency to whom referred in box 6D; and referral from Customs in 6E. A person arrested for conspiracy to violate a Customs law will be shown as having actually violated that Customs law. That is, if he conspired to smuggle liquor, box 6B will indicate LIQ.

## 6B Type

Identifies the reason the violator is arrested by using one of the following three alpha-characters:

HIT	Assault
PIL	Theft (pilferage)
FRD	Fraud
EXC	Export Control
NEU	Neutrality
GEM	Smuggling General Merchandise
SPM	Smuggling Precious Metals
LIQ	Smuggling Liquor
DIA	Smuggling Diamonds
GOL	Smuggling Gold
JEL	Smuggling Jewelry
WAT	Smuggling Watches
POR	Smuggling Pornography
MON	Smuggling Money
GUN	Smuggling Guns
OWB	Smuggling Other Weapons
EXP	Smuggling Explosives



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. TU22CR476501		2. DATE (Mo/Da/Yr) 11 26 73		3. CASE HOURS (Case Agent Only) 55		
4. STATUS <input type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input checked="" type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only)				
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES 7	6D. TYPE	6E. REFERRAL FROM U.S.C.	
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P E N A L T I E S & L O S S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION

MAR	Smuggling Marihuana
HAS	Smuggling Hashish
HER	Smuggling Heroin
MPH	Smuggling Morphine
OPM	Smuggling Opium
COC	Smuggling Cocaine
ODB	Smuggling Mescaline
ODB	Smuggling LSD
ODB	Smuggling Barbiturates
ODB	Smuggling Amphetamines
ODB	Smuggling Other Drugs

## 6C For Other Agencies

Identifies in numeric characters the number of people taken into custody for a violation, either Federal or State, which is not enforced by the U. S. Customs Service. When a person is arrested for another agency, he must be turned over to that agency. Information supplied by the Customs Service which results in the arrest of a violator(s) by another agency is not considered an arrest for that agency. Likewise, participation by the Customs Service in arrests of violators by another agency is not a Customs arrest for that agency.

This example shows:

1. A Tucson investigation; category 22 case (cooperating with another agency); the fifth character, C, identifies that the case related to the Secret Service; the sixth character, R, indicates the case originated in the Office of Investigations. The seventh character, 4, identifies the fiscal year; the eighth character, 7, identifies the region (Los Angeles); and the last four characters identify the investigation number in Tucson.
  2. The date the form is prepared, November 26, 1973.
  3. 55 hours showing the total time the case agents spent on the case.
  4. Closed, meaning that the investigation is complete and there is no further statistical data to be reported.
  5. Blank. There is no court time to be reported.
- 6C 7, indicates that 7 people were arrested by Customs.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. TU22CR476501		2. DATE (Mo/Da/Yr) 11 26 73		3. CASE HOURS (Case Agent Only) 55	
4. STATUS <input type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input checked="" type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only)			
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES 7	6D. TYPE SES	6E. REFERRAL FROM U.S.C.
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE
P R E V E N T I O N S & S U B J E C T S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS
R E C O M M E N D A T I O N	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE



## 6D Type

Identifies the agency or other authority for whom the violator is arrested. The reason for arrest is not to be reported. The following list of three-alpha characters identifies the agencies with whom we cooperate most. This list may be expanded at a subsequent time; but if the appropriate agency does not appear on the list, then box 6D is completed with the alpha characters AOA. Using symbols for agencies which are not on this list is invalid and will result in error.

AOA	All Other Authorities
ATF	Alcohol, Tobacco, and Firearms
DEA	Drug Enforcement Administration
CAN	Canada (RCMP, etc.)
CIA	Central Intelligence Agency
DOC	Department of Commerce
DOT	Department of Transportation
FBI	Federal Bureau of Investigation
INS	Immigration and Naturalization
IRS	Internal Revenue Service
LPD	Local Police Department
MEX	Mexico
POL	Interpol
PTO	Post Office
SES	Secret Service
SPD	State Police Department
STD	State Department
UAF	U.S. Air Force
UCG	U.S. Coast Guard
USA	U.S. Army
USN	U.S. Navy
COI	Office of Investigations

6D Shows that the people were arrested for and released to the Secret Service.

Cases which result in arrests for another agency are considered closed upon reporting those arrests; that is, no final disposition is to be reported on arrests for another agency.

6E Shows the number of persons who were arrested for a Customs Violation but prosecution was declined by the U.S. Attorney and they were subsequently referred to another agency for prosecution. (See 6A on page 55.)



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO.		2. DATE (Mo/Da/Yr)		3. CASE HOURS (Case Agent Only)			
SD07BR472502		09 30 74		60			
4. STATUS		5. COURT HOURS (Case Agent Only)					
<input checked="" type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		60					
A R R E S T S	6A. CUSTOMS VIOLATIONS		6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
S E I Z U R E S	7A. SEIZURE NO.		7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
	74 2504 00410		GOL				
	74 2504 00411		AIR				
	74 2504 00412		HER				
P R E V E N I E N T E & L O S S	8A. PENALTY NO.		8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE		9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
C U S T O M S C O L L E C T I O N	10A. COLL. DUTY		10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION

## Section 7 - SEIZURES

Refer to the definition of a seizure and the guidelines to be used when reporting seizures shown on page 9 of this manual. When reporting seizures, boxes 7A, 7B, 7C, 7D, 7E and 7F must be completed, otherwise the information will be in error.

7A Seizure number - Eleven character seizure number obtained from the District Director.

7B Commodity - Identify by using one of the three-alpha characters listed below. When more than one item is seized, then each should be listed separately. An additional form may be used if necessary. If the status of the investigation is Closed and more than one form is being submitted to report items seized, then it is necessary to indicate the status Closed on all forms.

NOTE: The system now permits the addition of statistics to closed cases.

GEM	General Merchandise
SPM	Precious Metals
LIQ	Liquor
DIA	Diamonds
GOL	Gold
JEL	Jewelry
WAT	Watches
POR	Pornography
MON	Money
GUN	Guns
OWB	Other Weapons
EXP	Explosives
MAR	Marihuana
HAS	Hashish
HER	Heroin
MPH	Morphine
OPM	Opium
COC	Cocaine
ODB	Mescaline
ODB	LSD
ODB	Barbiturates
ODB	Amphetamines
ODB	Other Drugs
AIR	Aircraft
BOT	Boat
VEH	Vehicle



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. SD07BR472502		2. DATE (Mo/Da/Yr) 09 30 74		3. CASE HOURS (Case Agent Only) 60			
4. STATUS <input checked="" type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only)					
ARRESTS	6A. CUSTOMS VIOLATIONS		6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
SEIZURES	7A. SEIZURE NO.		7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
	74 2504 00410		GOL	60520	250	OZ	
	74 2504 00411		AIR	69460	1	EA	
	74 2504 00412		HER		5	GR	
PENALTIES	8A. PENALTY NO.		8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
DISPOSITION	9A. TYPE		9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
FINANCIAL	10A. COLL. DUTY		10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION

- 7C TSUSA No. - For all imported items, delete the decimal and insert the first five characters of the TSUSA number for the seized item. This number should be obtained from the District Director (import specialist). If a TSUSA number does not exist (i.e. - heroin), the box should remain blank. The five character number will sufficiently identify the merchandise for our statistical purposes.
- 7D Quantity - Numerically identify the quantity of items seized with whole numbers. Do not report 1/2 or .5. If the commodity is narcotics and the quantity is less than .5 grams, then it should be reported as one trace. If the amount of narcotics is more than .5 grams, then report as 1 gram and likewise round off any fractions greater than 1 gram to the nearest whole number.
- 7E Unit of Measure - Identify with the appropriate two-alpha characters listed below the unit of measure corresponding to the quantity of the seizure. Solids may be reported in grams, kilos, ounces, tons, tablets, pounds, traces, and as each. Liquids are reported in ounces, pints, fifths, quarts, gallons, and liters.

Unit of Measure

GRAMS	GR	TABLETS	TB
KILOGRAMS	KG	TRACE	TR
OUNCES	OZ	GALLONS	GL
POUNDS	PD	QUARTS	QT
EACH	EA	PINTS	PT
FIFTHS	FI	LITERS	LT
TONS	TN	YARDS	YD
BOARD FEET	BF		

EXAMPLE

GOL 250 OZ - indicates that 250 ounces of gold were seized.

AIR 1 EA - indicates that one airplane was seized.

HER 5 GR - indicates that 5 grams of heroin were seized.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. SD07BR472502		2. DATE (Mo/Da/Yr) 09 30 74		3. CASE HOURS (Case Agent Only) 60		
4. STATUS <input checked="" type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only)				
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES		6D. TYPE	6E. REFERRAL FROM U.S.C.
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
	74 2504 00410	GOL	60520	250	OZ	8750
	74 2504 00411	AIR	69460	1	EA	12000
	74 2504 00412	HER		5	GR	NCV
P E N A L T I E S & L O S S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION

7F Value - Identify in whole dollars, deleting \$ and decimal points, the appraised value of the seizure as it appears on a CF 5955. When the item is prohibited such as narcotics or pornography, the value should be shown as NCV (no commercial value). Upon reporting a seizure, box 10C must be completed before the investigation can be closed.

7F EXAMPLE

8750 - the appraised value of the gold is \$8,750.00.

12000 - the appraised value of the airplane is \$12,000.00.

NCV - the heroin has no commercial value.

Note: If more than one item is seized under the same seizure number, repeat the seizure number in box 7A for each item and complete boxes 7B through 7F.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. SD08BH472501		2. DATE (Mo/Da/Yr) 12 07 74		3. CASE HOURS (Case Agent Only) 65		
4. STATUS <input type="checkbox"/> OPEN <input checked="" type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER				5. COURT HOURS (Case Agent Only)		
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P E N A L T I E S & L O S S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
	74 2504 00413	20000	1500		73487	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION



## SECTION 8 - PENALTIES & LOSS OF REVENUE

- 8A Penalty Number - Eleven character number obtained from the District Director.
- 8B The whole dollar amount as shown on the 5955A. Delete \$ and decimal.
- 8C Loss of Revenue - To be reported whenever a loss of revenue is discovered. Combine actual and potential loss. You can show loss of revenue without showing a penalty. Report the whole dollar amount deleting \$ and decimal.
- 8D TSUSA No. - Report only one TSUSA number. Delete the decimal and insert the first five characters of the TSUSA number which relate to the merchandise involved in the penalty or loss of revenue. These five characters will sufficiently identify the class of merchandise for statistical purposes.

In those cases where more than one type of merchandise is involved, report only one TSUSA number. The number reported should identify the most significant and/or representative merchandise involved. In many instances several articles can be consolidated into a single class by utilizing the first three characters of the TSUSA number. If three characters are used, then the number must be completed by adding two 0's, i.e., 72700 would include several types of furniture and 73400 would include several types of games and sporting goods.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

STATUS AND DISPOSITION RECORD

1. CASE NO. BA08ER472501		2. DATE (Mo/Da/Yr) 11 12 74		3. CASE HOURS (Case Agent Only) 56		
4. STATUS <input type="checkbox"/> OPEN <input checked="" type="checkbox"/> DISPOSITION PENDING <input type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only)				
A R R E S T S	6. 6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
S E I Z U R E S	7. 7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P E N A L T I E S & L O S S	8. 8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9. 9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
	FRD	1	1			
	GEM			1		1
R E C O V E R Y  V A L U E	10. 10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION

## Disposition of Arrests

Every arrest for a Customs violation reported in boxes 6A and 6B requires reporting the final disposition in the appropriate box of section 9, Disposition. Page 8 of this manual describes when the appropriate disposition should be used.

### EXAMPLE

- 9A Identifies with three-alpha characters listed on page 55 and corresponding to the three-alpha characters previously reported in section 6B.

FRD reports the disposition of arrest(s) for fraud.

GEM reports the disposition of arrests for smuggling general merchandise.

If the person(s) is arrested for FRD (fraud) and convicted of conspiracy, the disposition type (box 9A) must be FRD.

- 9B Indicates that one person has been found guilty by plea or verdict by Jury/Judge.

One person is convicted of a fraud (FRD) violation.

- 9C Indicates that one person has been acquitted by trial of all charges including the most meaningful one - a fraud violation (FRD).

- 9D Indicates that one person has had the charge of smuggling general merchandise dismissed by either a magistrate or judge.

- 9E Is blank indicating that declination of arrests is not applicable at this time or in this case.

- 9F Indicates that one person arrested for smuggling general merchandise (GEM) has failed to appear for legal proceedings and a bench warrant has been issued for his arrest.



DEPARTMENT OF THE TREASURY  
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STATUS AND DISPOSITION RECORD

1. CASE NO. NY087H420057		2. DATE (Mo/Da/Yr) 12 04 74		3. CASE HOURS (Case Agent Only) 85		
4. STATUS <input type="checkbox"/> OPEN <input type="checkbox"/> DISPOSITION PENDING <input checked="" type="checkbox"/> CLOSED <input type="checkbox"/> OTHER		5. COURT HOURS (Case Agent Only)				
A R R E S T S	6A. CUSTOMS VIOLATIONS	6B. TYPE	6C. FOR OTHER AGENCIES	6D. TYPE	6E. REFERRAL FROM U.S.C.	
S E I Z U R E S	7A. SEIZURE NO.	7B. COMMODITY	7C. TSUSA NO.	7D. QUANTITY	7E. UNIT OF MEASURE	7F. VALUE
P E N A L T I E S & L O S S	8A. PENALTY NO.	8B. AMOUNT	8C. LOSS OF REVENUE (Amount)		8D. TSUSA NO.	
D I S P O S I T I O N	9A. TYPE	9B. CONVICTIONS	9C. ACQUITTALS	9D. DISMISSALS	9E. NOLLE PROS	9F. FUGITIVES
R E C O V E R Y  V A L U E	10A. COLL. DUTY	10B. PENALTY	10C. FORF. MITIGATED	10D. FINE	10E. BAIL FORFEITURE	10F. OTHER COLLECTION
	5000	30000	23590	20000	5000	

## SECTION 9 - Recovery Value

- 10A Collection Duty - Report in whole US dollars, deleting \$ and decimal points, the amount of duty which is recovered as a result of this investigation. If the duty is not broken out from the penalty recovery or in the forfeiture recovery, then do not report and leave box blank. The example shows a duty collection of \$5,000.00.
- 10B Penalty - Report in whole US dollars, deleting \$ and decimal points, the amount of money which is paid to the U.S. Customs Service as a result of penalty concerning this investigation. Whenever penalties are reported in box 8A & B of this form, then a subsequent report must show the disposition of that penalty. The value of the assessed penalty and the subsequent recovery value do not have to match. In the event that the penalty is mitigated to 0, then this box must be completed by showing four 0's (i.e. - 0000). An investigation cannot be closed until the disposition of all the penalties is reported. If a penalty is mitigated to 0 upon payment of duties, then the collection of duties will be reported in box 10A and box 10B will show 0. The recovery value for penalties on this case are shown in 10B as \$30,000.00
- 10C Forfeiture Mitigated - Report in whole US dollars, deleting \$ and decimal points, the amount of money which is recovered by the Government either by seized merchandise being forfeited or by fines resulting from seizures. If the seized merchandise which has been previously reported in section 7A, B, C, D, E and F has been forfeited to the Government, then the amount of money shown in this box should be the appraised value of the merchandise at the time of

the seizure. If the merchandise is returned to the violator in lieu of a fine, then the amount of the fine should be reported in this box. If the merchandise is pilfered and is returned to its legitimate owner, then the box should be marked with four 0's (i.e. - 0000) indicating no recovery. If the seizure is narcotics and/or other prohibited merchandise and the official appraised value is no commercial value (NCV), then this box should be marked with the three alpha characters NCV. Every seizure must have a final disposition.

The example shows that this case had a recovery of \$23,580 resulting from seizures.

- 10D Fine - Report in whole US dollars, deleting \$ and decimal points, the amount of fine imposed by a judge or magistrate as a result of the criminal proceedings concerning this case. The example shows \$20,000 in fines resulting from this investigation.
- 10E Bail Forfeiture - Report in whole US dollars, deleting \$ and decimal points, the amount of money which is forfeited to the Government as a result of a defendant's failure to appear for legal proceedings. The example shows \$5,000 recovery for bail forfeiture resulting from this case.
- 10F Collection Other - Report in whole US dollars, deleting \$ and decimal points, the amount of money which is collected for Customs and is not reportable in 10A, 10B, 10C, 10D or 10E and/or any money which is collected for another agency as a result of this investigation.

INSTRUCTIONS FOR PREPARING THE PARTICIPATING AGENT RECORD  
(CF 64A)

The purpose of a Customs Form 64A is to account for the hours spent by a participating agent in investigating and assisting in cases which are assigned to someone else. This form will result in a printout which will display the actual hours spent by an agent in each investigative category. The resulting printout is to be used by supervisors to insure that each special agent gains experience in each category.

All time spent assisting other agents is to be reported on this form.

The Customs Form 64A is broken into five data items. The following page will identify the use of each item.

THIS FORM IS TO BE USED ONLY FOR REPORTING HOURS SPENT ON  
CASES ASSIGNED TO SOMEONE ELSE. USE A CF 64 TO REPORT HOURS  
SPENT ON CASES ASSIGNED TO YOU.



DEPARTMENT OF THE TREASURY  
UNITED STATES CUSTOMS SERVICE

## PARTICIPATING AGENT RECORD

1. CASE NO.	2. SOC. SEC. NO.	3. DATE (Mo/Da/Yr)
4. CASE HRS.	5. COURT HRS.	

### INSTRUCTIONS

This form to be used to report hours spent on case by other than case agent. The case agent will prepare a form 64 at least once every 30 days and report his hours on that form.

CUSTOMS FORM 64-A (3-14-74)



1. Case Number

The instructions on preparing this box have been previously described on pages 13 - 36 and on page 41 of this manual.

2. Social Security Number

To avoid error, it is recommended that a rubber stamp with at least 1/8" print be utilized. (Rubber stamps which include the agent's name are permissible.)

3. Date

This should show the date that the form was completed. It is recommended that a participating agent utilize this form to record his daily activity on a case. However, if he is participating in this investigation over a period of days, it is recommended that when his participation ends, he submit only one form showing his total hours.

4. Case Hours

This box is used to furnish the number of hours worked on a case which is assigned to someone else. The number must be whole; that is, do not use 1/2 or .5. It must be reported as 1, 20, etc.

In the event several Form 64A's are submitted, then this box should be used to show the number of hours worked on this case since the previous submission.

The computer will automatically total the hours for each agent from all Form 64's and 64A's and report the total hours worked by each agent and the total hours of all agents.

5. Court Hours

Report all hours spent, as a participating agent, on criminal proceedings resulting from this case. The time should include: locating and transporting witnesses;

guarding and protecting defendants and witnesses; travelling to and from legal proceedings; pre-trial and pre-hearing conferences; waiting to testify; and testifying at hearings and trials.

## OUTPUT

The following fourteen reports will be the product of the CF 9, CF 64 and CF 64A. The reports will be distributed on a monthly basis to each office with a consolidated report for each region and a further consolidation nationwide. It is important to understand that the statistical reports are based on addition and manipulation of the facts extracted from CF 9, CF 64 and CF 64A. Therefore, any errors occurring from reporting greater quantities, values, etc., will be all but impossible to correct. Any errors from reporting lesser quantities, values, etc., may be corrected by the submission of a CF 64 showing the difference from the amount previously reported and the amount desired.

The reports will appear in the following sequences:

1. AGENT CASE ASSIGNMENT SUMMARY
2. CASE RECORD
3. ARREST REPORT
4. DISPOSITION REPORT
5. SEIZURE, PENALTY, AND RECOVERY REPORT
6. CASE INVENTORY SUMMARY
7. FOR OTHER AGENCY ARREST REPORT
8. ARREST & DISPOSITION BY CATEGORY
9. SEIZURE AND PENALTY COLLECTION REPORT BY INVESTIGATIVE CATEGORY
10. SOURCE SUMMARY BY INVESTIGATIVE CATEGORY
11. ARREST, CONVICTION, SEIZURE, PENALTY AND COLLECTION BY CASE-MIX CATEGORY
12. OFFICE OF INVESTIGATIONS NARCOTIC SEIZURE REPORT
13. AGENT CASE INVENTORY SUMMARY
14. COLLATERAL CASE RECORD

## AGENT CASE ASSIGNMENT SUMMARY

This report reflects the hours spent by an agent on each case he participates in as well as one line summary of all cases assigned to him. The oldest case for each category will be shown first; the latest will be shown last in that category. The field headings are as follows:

1. Case number - as shown on the CF 9, CF 64 or CF 64A - Collateral cases will be identified by the last 5 characters which identify the originating office.
2. Date assigned - Date assigned to case agent - Will not appear on participating agent's printout.
3. Disposition Pending - If line is blank on case agent's copy, the case is still open; if date is shown, then the case went into Disposition Pending status on this date; if the word CLOSED is shown, the case was closed on date shown under Last Action column. This line will always be blank on participating agent's printout. (NOTE: Once a case is closed it will not appear on a subsequent report.)
4. Last action - The date the last action was reported on this case by this agent.
5. Investigative hours - Hours reported by this agent on this case.
6. Court hours - Hours spent in court by this agent on this case.
7. Total hours - Total of 5 and 6.
8. Total arrests - Number of persons physically taken into custody (includes those for other authorities). This line will be blank on participating agent's printout.
9. Seizure - number of seizures. This line will be blank on participating agent's printout.
10. Total Disposition - Number of arrested persons with a disposition. This line will be blank on participating agent's printout.
11. Number of penalties - Total number of penalties assessed. This line will be blank on participating agent's printout.
12. Penalty Value - Total dollar amount of penalties assessed. This line will be blank on participating agent's printout.
13. Loss of revenue - Loss of revenue in dollar amounts. This line will be blank on participating agent's printout.
14. Total recovery - Total dollar amount of recoveries. This line will be blank on participating agent's printout.

AGENT CASE ASSIGNMENT SUMMARY

AGENT NAME				REGION NAME						OFFICE NAME			
Case No.	Date		Last Action	Invest. Hours	Court Hours	Total Hours	Total Arrest	Loss of Revenue	Seizures	Arrest Dispo.	Penalties		Total Recovery
	Assigned	Pending									No.	Value	
SD08BH472501	03 11 74	12 20 74	12 20 74	6	0	6	0	0	1	1	1	20000	15000
SD08CE472502	04 01 74	CLOSED	04 09 74	30	0	30	0	0	0	0	0	0	0
SD08HH472504	P		05 02 74	5	0	5	0	0	0	0	0	0	0
SD08EH420001	08 03 74		09 10 74	20	0	20	2	2	5	0	1	1000	0
SD08DR400501	P		07 02 74	1	2	3	0	0	0	0	0	0	0
SD50B0472502	P		12 09 74	8		8							
SD52B0472504	P		12 16 74	18		18							
TOTALS				88	2	90	2	2	6	1	2	21000	15000

## CASE RECORD

This is a detailed report of all actions submitted on a case by case number. The report will show: case number; agent assigned; region; office; assigned date; status; court hours by each agent; investigative hours by each agent; and total hours by each agent and by all agents.

The remainder of this report reflects the combined result of all agents participating in the investigation.

If any arrests are made, the number will show under Customs violations; type will indicate why he was arrested; if FOA, the number will show under For Other Authorities; type will indicate what agency he was turned over to. If seizures were made, the report will show the commodity item, quantity, unit of measure and value; if penalties were assessed, the report will show the number of penalties and their amount in dollar value. If there was a loss of revenue, the report will show the dollar amount. If any recovery is made, the report will show the dollar amount.

This report was designed to resemble the CF 64 as much as possible but would print a section only when it is reported.

This report will be provided only to the office and region where the case is assigned.

# CASE RECORD

<u>Case No.</u>	<u>Agent</u>	<u>Date Assigned</u>	<u>Status</u>	<u>Investigative Hours</u>	<u>Court Hours</u>	<u>Total Hours</u>	<u>Date Last Action</u>
SD08BH472501	Name	03 11 74	Pending	06	0	06	12 20 74
	Name			20	05	25	12 18 74
	Name			60	20	80	12 25 74
	Name			20	05	25	12 30 74
				106	30	136	

TOTALS

# PAY OFFS

82

	<u>Customs Violations</u>	<u>Type</u>	<u>For Other Authorities</u>	<u>Type</u>	<u>Referrals</u>
Arrests	0	0	0	0	0
	<u>Type</u>	<u>Convictions</u>	<u>Acquittals</u>	<u>Dismiss.</u>	<u>Note Pros</u>
Disposition	0	0	0	0	0
	<u>Commodity</u>	<u>Quantity</u>	<u>Unit of Measure</u>	<u>Value</u>	<u>Penalty</u>
Seizures & Penalties	Airplane	1	Each	15000	1
Collections	<u>Amt.</u>	<u>Penalty</u>	<u>Forfeiture Mitigations</u>	<u>Fine</u>	<u>Bail Forfeiture</u>
Loss of Revenue - 1000	0	0	15000	0	0
					0
					15000

Note  
Airplane forfeited - 136 hours to collect \$15000.  
\$20,000 penalty is pending.

## ARREST REPORT

The Arrest Report will show the number and type of arrests made for the last 12 months (when there are enough months to show). It should be noted that only those types of arrests which were reported in the last 12 months will be printed. The arrests are totaled vertically by month or horizontally by category; the bottom-most amount under the TOTAL column is the overall arrests made.

The Arrest Report is provided at three levels; Office, Region (the total of all offices) and Headquarters (the total of all regions).

Since a maximum of 12 months and 31 categories are shown, this report is only one page in length.



## ARREST REPORT

REPORTING PERIOD = AUG 01 73 - JUL 31 74

OFFICE = ALL

REGION = ALL

	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	TOTAL
MARIJUANA	540	508	744	427	534	507	540	454	506	544	484	464	6,252
HASHISH	120	110	72	94	98	100	60	63	67	94	62	102	1,042
HEROIN	56	52	130	39	56	82	82	85	77	98	57	58	872
MORPHINE					1			1					2
OPIMUM	3	2	3	1	1	7	6	2	3	7	7	3	45
COCAINE	47	39	73	34	88	63	84	73	55	67	58	74	755
OTHER DANGEROUS DRUGS	63	53	65	37	50	36	33	30	51	44	49	44	555
GEN. MERCHANDISE	10	20	16	24	13	9	10	7	6	3	5	3	126
PRECIOUS METALS										9			9
LIQUOR	18	4	2-	2	7	4	3	2	8	4			50
DIAMONDS								2	1				3
GOLD		1	1		1	2		1	1	1	1	3	15
JEWELRY		3	1	1	2			1	2-		2		7
WATCHES			2					2		1			3
PORNOGRAPHY	1			1						1			3
MONEY											2		57
GUNS	10	1	17	5	2	3	4	3	6	4	2		10
OTHER WEAPONS		1	1		1	2	1		1	3		1	10
EXPLOSIVES	2		5	1	1	3	10	4-	7	5	10	4	85
FRAUD	8	8	7	7	4	9	1	6			1	8	16
ASSAULT	1	2		1		25	29	2	15	34	16	41	260
NEUTRALITY		12	12	21	4		1	25					2
THEFT (PILFERAGE)	26												
EXPORT CONTROL	1				41	22	9	6	3	11	4	10	172
MISCELLANEOUS	14	16	25	11									
TOTALS	919	833	1,171	706	904	874	874	761	805	929	761	818	10,355

## DISPOSITION REPORT

This report shows the disposition of all arrests made in the last 12 months. Only those types of arrests reported for the last 12 months will be shown. The totals are given by type of disposition (vertical) and by disposition category (horizontal); and the bottom-most total under the TOTAL column is the overall number of dispositions reported.

The Disposition Report will be provided at three levels: Office, Region (total of all offices), and Bureau (total of all regions).

Since a maximum of 5 categories of dispositions and 31 types of arrests are shown, this report is only one page in length.

NOTE: Disposition of arrests "For Other Authorities" will not be shown.

## DISPOSITION REPORT

REGION = ALL	TYPE	CONVICTIONS	ACQUITTALS	DISMISSALS	NOLLE PROS	FUGITIVES	TOTAL
	MARIHUANA	2,980	79	694	2,077	225	6,055
	HASHISH	338	67	100	560	16	1,081
	HEROIN	531	15	142	76	35	799
	MORPHINE	0	0	0	2	0	2
	OPIUM	19	0	9	12	2	42
	COCAINE	384	14	88	113	32	631
	OTHER DANGEROUS DRUG	152	3	72	274	6	507
	GEN. MERCHANDISE	29	1	6	91	3	130
	PRECIOUS METALS	0	0	0	1	0	1
	LIQUOR	15	1	24	4	0	44
	DIAMONDS	1	0	0	2	0	3
	GOLD	1	1	2	0	0	4
	JEWELRY	6	0	3	4	0	13
	WATCHES	0	0	3	2	1	6
	PORNOGRAPHY	1	0	0	1	0	2
	MONEY	0	0	1	1	0	2
	GUNS	4	2	1	49	0	56
	OTHER WEAPONS	0	0	0	10	0	10
	EXPLOSIVES	0	0	0	2	0	2
	FRAUD	7	0	0	3	0	10
	ASSAULT	31	7	29	8	0	75
	NEUTRALITY	7	0	3	6	0	16
	THEFT (PILFERAGE)	88	3	18	57	0	166
	EXPORT CONTROL	2	0	0	0	0	2
	MISCELLANEOUS	21	0	14	116	4	155
	TOTALS	4,617	193	1,209	3,471	324	9,814

## SEIZURE REPORT

The Seizure Report will show the number of seizures, commodity item, quantity, units of measure and value of each item seized. NOTE: Narcotics have no value and should be reported accordingly. Only those commodities reported will be printed. This report will also show assessed penalties (total number of penalties and their dollar value amount) and loss of revenue. The Recovery Value will show the total amount under type reported.

The Seizure Report will be provided at three levels; Office, Region (total of all offices) and Headquarters (total of all Regions).

This report will only be one page in length.

## REPORTING PERIOD = JUL 01 73 - JUL 31 73

OFFICE = ALL

NO. OF SEIZURES

[illegible]

**VALUE**

Seizure	Quantity	Value of Seizure	Unit of Measure
Marihuana	20,518,940	0	Grams
Hashish	1,041,532	15	Grams
Heroin	37,191	0	Grams
Opium	5,250	0	Grams
Cocaine	53,872	194	Grams
Other Dangerous Drug	27,374	5 GR	Units
Gen. Merchandise	16,842	857,517	Each
Liquor	18,469	5,785	Ounces
Gold	36	2,211	Ounces
Jewelry	935	107,901	Each
Watches	29	4,760	Each
Pornography	436	0	Each
Money	5,965	5,964	Each
Guns	45	2,085	Each
Other Weapons	50	313	Each
Explosives	89	15	Each
Airplanes	8	205,500	Each
Boats	4	129,400	Each
Vehicles	278	496,204	Each
		1,817,864	Total Value of Seizures

Total Value of Seizures	1,817,864
-------------------------	-----------

Total Seizures 1,315

1,375

## Assessed Penalties

Collection Duty	Penalty
1.00	0.00
2.00	0.00
3.00	0.00
4.00	0.00
5.00	0.00
6.00	0.00
7.00	0.00
8.00	0.00
9.00	0.00
10.00	0.00
11.00	0.00
12.00	0.00
13.00	0.00
14.00	0.00
15.00	0.00
16.00	0.00
17.00	0.00
18.00	0.00
19.00	0.00
20.00	0.00
21.00	0.00
22.00	0.00
23.00	0.00
24.00	0.00
25.00	0.00
26.00	0.00
27.00	0.00
28.00	0.00
29.00	0.00
30.00	0.00
31.00	0.00
32.00	0.00
33.00	0.00
34.00	0.00
35.00	0.00
36.00	0.00
37.00	0.00
38.00	0.00
39.00	0.00
40.00	0.00
41.00	0.00
42.00	0.00
43.00	0.00
44.00	0.00
45.00	0.00
46.00	0.00
47.00	0.00
48.00	0.00
49.00	0.00
50.00	0.00
51.00	0.00
52.00	0.00
53.00	0.00
54.00	0.00
55.00	0.00
56.00	0.00
57.00	0.00
58.00	0.00
59.00	0.00
60.00	0.00
61.00	0.00
62.00	0.00
63.00	0.00
64.00	0.00
65.00	0.00
66.00	0.00
67.00	0.00
68.00	0.00
69.00	0.00
70.00	0.00
71.00	0.00
72.00	0.00
73.00	0.00
74.00	0.00
75.00	0.00
76.00	0.00
77.00	0.00
78.00	0.00
79.00	0.00
80.00	0.00
81.00	0.00
82.00	0.00
83.00	0.00
84.00	0.00
85.00	0.00
86.00	0.00
87.00	0.00
88.00	0.00
89.00	0.00
90.00	0.00
91.00	0.00
92.00	0.00
93.00	0.00
94.00	0.00
95.00	0.00
96.00	0.00
97.00	0.00
98.00	0.00
99.00	0.00
100.00	0.00

121, 284  
21, 247

Number of Donations-	590	Total Loss of Revenue-\$-
Value -	33,095,638	Total Loss of Revenue-\$-

Number of Penalties-	590	Bail Forfeiture	Collection Other	Total Collection
Value -	33,095,638			

558,021

## CASE INVENTORY SUMMARY

The Case Inventory Summary Report shows the cases by investigative category reported in the last 12 months. In addition to the columns shown, a column will be added to show "TOTAL CASES CLOSED YEAR TO DATE". Totals are given vertically by type and horizontally by investigative category; the bottom-most amount shown under the year to date columns will show total number of cases opened and closed (when the column is added) year to date.

The Case Inventory Summary Report will be provided at three levels: Office, Region, (total of all offices), and Headquarters (total of all regions).

This report will only be one page in length.

### Case Activity

[illegible]

## FOA ARREST REPORT

This report will track, by month and total for the year, all arrests made by special agents for other agencies and referred to other agencies. It will total the arrests in those categories by agencies and by month.

This report will be provided at three levels; office, region (total of all offices) and Headquarters (total of all regions).



REGION = ALL

FOA ARREST REPORT

OFFICE= ALL

REPORTING PERIOD= AUG 01 72 - JUL 31 73

	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	TOTAL
	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	FOA REF	REF
FEDERAL BUREAU INV.	31	9	26	12	60	11	60	7	29	16	32	20	32
IMMIGR. AND NATURAL.	212	2	135	102	1	168	4	22	7	12	20	19	360
INTERNAL REVENUE	1	3	2	2	2	3	2	103	1	86	1	7	1,376
ALC-TOBACCO-FIREARMS	1	3	2	2	2	3	2	1	1	2	1	1	3
SECRET SERVICE													9
U.S. COAST GUARD	2	5	3	17	2	5	4	1	1	11		2	3
U.S. NAVY	1	1	4	2	2	2	2	2	1	2		2	15
U.S. AIR FORCE	2	17	2	6	4	4	6	1	2	6	1	3	4
U.S. ARMY	21	109	12	98	19	74	3	26	6	37	8	61	24
STATE POLICE	44	124	46	140	100	134	34	78	72	128	45	126	137
LOCAL POLICE									33	70	38	52	604
POST OFFICE	14	1	7	8	9	15	23	10	30	14	8	5	655
DEA	1	1	1	1	1	1	1	1	1	1	1	1	4
MEXICO	15	19	2	5	5	11	3	8	32	1	2	6	127
OTHER AUTHORITIES	9	2	2	2	2	2	11	10	12	8	19	13	27
OFFICE INV FUGITIVE													95
TOTALS	353	290	235	288	486	272	250	142	271	225	197	185	2,957
													2,127

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## ARREST AND DISPOSITION BY CATEGORY

This report tracks by category all arrests and the disposition made in this category.

This report will be provided at three levels; office, region (total of all offices) and Headquarters (total of all Regions).

## ARREST AND DISPOSITION BY CATEGORY

PAY OFF SUMMARY THIS MONTH

<u>Category</u>	<u>No. Customs Arrests</u>	<u>Arrest FOA</u>	<u>Referrals</u>	<u>Customs Convictions</u>	<u>Acquittals</u>	<u>Dismissals</u>	<u>Note Pros</u>	<u>Fugitives</u>	<u>Total</u>
1. Drawback									
2. Classification									
3. Market Value									
4. Smuggling, Diamonds & Jewelry									
5. Smuggling, Liquor									
6. Smuggling, Narcotics									
7. Smuggling, All Other									
8. Undervaluation and False Invoicing									
9. Prohibited Importations									
10. Organized Crime									
11. Navigation, Plane & Vehicle Violations									
12. Marking of merchandise (Origin)									
13. Baggage Declaration Violations									
14. Customhouse Brokers and Attorneys									
15. Applications for Licenses									
16. Customs Bonds, etc.									
TOTALS									

## SEIZURE AND PENALTY COLLECTION REPORT

This report tracks, by category, loss of revenue; number of seizures, seizure values, number of assessed penalties and penalty values and reports on all collections.

This report will be provided at three levels; office, region (total of all offices) and Headquarters (total of all regions).

## SEIZURE AND PENALTY COLLECTION

PAY OFF SUMMARY THIS MONTH

Category	No. of Seizures	Seizure Value	No. of Assessed Penalties	Penalty Value	Loss of Revenue	Duty Collected	Forfeiture Mitigated	Fines Collected	Penalties Collected	Bail Forfeited	Collection Other	Total Collect
1. Drawback												
2. Classification												
3. Market Value												
4. Smuggling, Diamonds & Jewelry												
5. Smuggling, Liquor												
6. Smuggling, Narcotics												
7. Smuggling, All Other												
8. Undervaluation and False Invoicing												
9. Prohibited Importations												
10. Organized Crime												
11. Navigation, Plane & Vehicle Violations												
12. Marking of merchandise (Origin)												
13. Baggage Declaration Violations												
14. Customhouse Brokers and Attorneys, etc.												
TOTALS												

## SOURCE SUMMARY REPORT

This report tracks, by category, the number of cases referred by the various officers shown in the source character of the case number.

This report will be provided at three levels; office, region (total of all offices) and headquarters (total of all regions).

SOURCE SUMMARY

	ATF	CPO	INSPECTOR	IMP. SPEC.	DEA	CEIS	OTHER CUSTOMS	BORDER PATROL	OI	SL	DEPT. COM.	OTH FED	FBI
	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.	MO. YR.

1. Drawback
2. Classification
3. Market Value
4. Smug., Diamonds & Jewelry
5. Smug., Liquor
6. Smug., Narcotics
7. Smug., All other
8. Undervaluation & False Invoicing
9. Prohibited Importations
10. Organized Crime
11. Navigation, Plane & Vehicle Violations
12. Marking of merchandise (Origin)
13. Baggage Declaration Violations
14. Customhouse Brokers and Attorneys, etc.

TOTALS

ARREST, CONVICTION, SEIZURE, PENALTY, COLLECTION BY CASE-MIX  
CATEGORY REPORT

This report tracks by summary category the activity of the various divisions within the Office of Investigations.

This report will be provided to Headquarters only.



**ARREST, CONVICTION, SEIZURE, PENALTY, COLLECTION  
BY CASE-MIX CATEGORY THIS MONTH**

<u>Summary Category</u>	<u>Loss of Revenue</u>	<u>No. of Seizures</u>	<u>Seizure Value</u>	<u>No. of Assessed Penalties</u>	<u>Penalty Value</u>	<u>Total Collections</u>	<u>Customs Arrests</u>	<u>Arrests FOA</u>	<u>Total Arrests</u>	<u>Customs Convictions</u>
1. S & OCR (4,5,6,7,10,13,23,24)										
2. Regulatory (9,11,12,14,15,25,26,32)										
3. Special (18,22,28,29,30)										
4. Technical (8,17)										
5. Verification (1,16,19,20,27)										
6. Foreign (2,3,21,31)										
<b>TOTALS</b>										

## OFFICE OF INVESTIGATIONS NARCOTIC SEIZURES REPORT

This is a special report to track narcotic seizures made by special agents. It will report the narcotics by type, weight and month and total each type of narcotics in grams, pounds, tons and 5 grain units.

This report will be provided to headquarters only.

# OFFICE OF INVESTIGATIONS NARCOTIC REPORT

REPORTING PERIOD - JUL 01 71 - OCT 31 71

	MARIHUANA	HASHISH	HEROIN	MORPHINE	OPIUM	COCAINE	OTHER DRUGS
JULY	6,164	12,463	7	0	76	12	
AUGUST	4,048	4	0	0	0	0	
SEPTEMBER	4,949	87,283	0	0	0	0	
OCTOBER	2,558	1,421	0	0	0	0	
TOTAL GRAMS	17,719	101,171	7	0	76	12	
POUNDS	39	222	0	0	0	0	
TONS	0	0	0	0	0	0	
	5 GRAIN UNITS						

## AGENT CASE INVENTORY SUMMARY

This report totals the hours reported by an agent in each investigative category and measures the experience gained in each category. It also summarizes the number of assigned cases brought forward from the preceeding month, opened this month, closed this month, number of disposition pending, number opened year to date, closed year to date, by category.

This report will be provided at three levels; office, region and Headquarters.

# AGENT CASE INVENTORY SUMMARY

Agent Name

Category

1. Drawback
2. Classification
3. Market Value
4. Smug. Diamond & Jewel.
5. Smug. Liquor
6. Smug. Narco.
7. Smug. All Other
8. Undervaluation
9. Prohib. Import.
10. Org. Crime
11. Navigation
12. Marking
13. Baggage Dec.
14. Customhouse Brokers & Attorneys, etc.

All hours spent on this type investigation as case agent or assisting (measures total year activity)

Total Hrs.  
Year

Hrs.  
This Mo.

Open  
This  
Month

Dispo.  
Pend.  
This Month

Open  
Year  
to Date

Closed  
Year  
to Date

Cases assigned to this Agent.

## COLLATERAL CASE RECORD

This is a detailed report of all actions submitted on a case by case number. The report will show for each office, case number, office, assigned date, status, court hours, investigative hours, and total hours. If any arrests were made, the number will show under Customs violation; type will indicate why he was arrested; if FOA, the number will show under for other authorities; type will indicate what agency he was turned over to. If any seizures were made, the report will show the commodity items, quantities, units of measure, and values; if any penalties were assessed, the report will show the number assessed and their dollar value. If there was a loss of revenue, the report will show the total dollar loss. If any recoveries were made, the total dollar amounts will be shown.

This report was designed to resemble the CF 64 as much as possible but would print a section (arrest, seizure, disposition, recovery) only when it is reported.

This report will be provided to headquarters only.

COLLATERAL CASE RECORD

<u>Case No.</u>	<u>Office</u>	<u>Date Assigned</u>	<u>Status</u>	<u>Investigative Hours</u>	<u>Court Hours</u>	<u>Total Hours</u>	<u>Date Last Action</u>
SD08BH472501	San Ysidro	03 11 74	Pending	06	0	06	12 20 74
NY08BH472501	New York	04 07 74	Closed	20	05	25	12 18 74
SF08BH472501	San Francisco	03 19 74	Closed	60	20	80	12 25 74
LA08BH472501	Los Angeles	05 22 74	Closed	<u>20</u>	<u>05</u>	<u>25</u>	12 30 74
			TOTALS	106	30	136	

<u>PAY OFFS</u>	<u>Customs Violations</u>	<u>For Other Authorities</u>	<u>Type</u>	<u>Referrals</u>
Arrests	0	0	0	0
	<u>Type</u>	<u>Convictions</u>	<u>Acquittals</u>	<u>Dismiss.</u>
Disposition	0	0	0	0
	<u>Commodity</u>	<u>Quantity</u>	<u>Unit of Measure</u>	<u>Penalty</u>
Seizures & Penalties	Airplane	1	Ea.	1
				20000

105

<u>Collections</u>	<u>Amt.</u>	<u>Duty</u>	<u>Penalty</u>	<u>Forfeiture Mitigation</u>	<u>Fine</u>	<u>Bail Forfeiture</u>	<u>Other</u>	<u>Total</u>
Loss of Revenue -	1000	0	0	15000	0	0	0	15000

Note  
Airplane forfeited = 136 hours to collect \$15000.  
\$20,000 penalty is pending.

## EXCEPTION LISTING

The Exception Listing Printout is a listing of those cases which for some reason, the computer rejected. To correct the exception, the appropriate office should identify the reason for the exception and take the action as indicated below:

### I TYPE: CF 9

- A. Exception: "Duplicate case number --- Correct CF 9 and Resubmit".

#### REASON FOR EXCEPTION

#### HOW TO CORRECT

- |   |  |
|---|--|
| 1. Two CF 9's submitted showing the same information.   | 1. If same case, disregard exception.  |
| 2. Two CF 9's submitted showing two different agents but using the same file number for both cases. First CF 9 is accepted. | 2. If incorrect file number issued, submit new CF 9 with correct information and attach SRA copy of original CF 9 indicating in red ink the error. |
| 3. CF 9 correctly transferring a case from one to another was keypunched as <u>open</u> .                                   | 3. Submit new CF 9 with correct information and attach SRA copy of original CF 9 indicating in red ink the error.                                  |
| 4. CF 9 showing correct action keypunched incorrectly.  | 4. Same as 3 above.  |
- B. Exception: "Agent not on file --- check Social Security Number".

### II TYPE: STATUS, ARREST, SEIZURE, ARREST DISP RECOVERY - All result from one CF 64.

It must be realized that the amount of information appearing on one CF 64 will determine the number of exceptions appearing from any one file number. Boxes 1 through 5 are transcribed as STATUS. Boxes 6A through 6E are transcribed as ARRESTS. - Note: Use of more than one line



in this field will result in more than one ARREST appearing. Likewise: Boxes 7A - 7F appear as SEIZURE; Boxes 8A, 8B and 8D as PENALTY; Boxes 8C and 8D LOSS OF REVENUE; Boxes 9A - 9F ARREST DISPOSITION; and Boxes 10A - 10F RECOVERY.

A. Exception: "Case Number not on file -- please submit CF 9".

#### REASON FOR EXCEPTION

#### HOW TO CORRECT

- |   |  |
|---|--|
| 1. No CF 9 was submitted for this particular case.  | 1. Submit appropriate CF 9 dated on or before date on CF 64 and submit new CF 64.    |
| 2. CF 9 correctly submitted but incorrectly key-punched and entered into IPA.   | 2. Same as above. Attach copy of original CF 9 indicating keypunch error in red ink. |
| 3. An old investigation reporting statistics, but within status of CF 64 only <u>closed</u> was checked instead of <u>closed</u> - <u>other</u> . | 3. Advise in writing of file number and error.                                       |
| 4. A keypunch error omitted the inclusion of <u>other</u> in <u>Status</u> on CF 64.  | 4. Same as 3.  |
| 5. The CF 64 has been dated and submitted prior to the date on the appropriate CF 9.  | 5. Submit a new CF 9 and new CF 64. Date the CF 9 prior to date on the new CF 64.    |

Exception will continue to appear on subsequent Exception Listings until they have been resolved.

Corrections to exception should be routed through the IPA coordinator officer in your region and addressed to the Law Enforcement Data Processing Division, 2265 India Street, San Diego, California, 92101, Attention: IPA.

Tried to transfer case twice in a month.

Resubmit 2nd transfer for next reporting period.

Tried to transfer a closed case.

Reopen and transfer case on CF 9.